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ABSTRACT

This Systems and Procedures Evaluation Center (SPEC) kit is based on information and documents submitted by 15 Association of Research Library (ARL) member libraries in response to an August 1986 questionnaire mailed to 19 ARL libraries selected on the basis of their size, level of automation, and organizational structure of copy cataloging. A concise summary considers copy cataloging organization; workflow, priorities, and performance standards; staff training; and trends and needs. In addition, tabulated survey results are provided, and documents such as workflow charts, error report forms, organization charts, procedure outlines, backlog studies, proposals, quality control reports, and training programs are included for the following libraries: (1) Ohio State University; (2) Pennsylvania State University; (3) Stanford University; (4) the State University of New York at Albany; (5) the State University of New York at Buffalo; (6) the University of Arizona; (7) the University of California, Irvine; (8) the University of Illinois; (9) the University of Missouri; (10) the University of New Mexico; (11) the University of North Carolina, Chapel Hill; (12) the University of Pennsylvania; and (13) the University of Wisconsin. A five-item bibliography and SPEC kit order and evaluation forms are also included. (KM)

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* * *

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spec flyer
Flyer 136, July-August 1987
OMS
Systems and Procedures Exchange Center
ISSN 0160 3582

MANAGING COPY CATALOGING IN ARL LIBRARIES

In an environment of fluctuating budgets coupled with users' expectations that online catalogs will provide instant access to research collections, library managers find themselves under pressure to provide high quality and efficient service in the most cost-effective manner possible. Widespread experience with bibliographic utilities provides libraries with opportunities to manage resources and staff more effectively, and to design workflow and procedures to ensure timely access to the collections in which so much has been invested. The promise that shared cataloging should result in lower cataloging costs keeps libraries vigilant and interested in how to increase effectiveness in the management of copy cataloging operations.

To gather information on current practices in copy cataloging, the researcher sent a short questionnaire to 19 ARL libraries in August 1986, requesting detailed information on copy cataloging organization, workflow, and staffing (see first Kit document). The libraries were selected based on their size, level of automation, and organizational structure of copy cataloging. Fifteen respondents supplied documents and completed the questionnaire.

ORGANIZATION. Several libraries report they reorganized technical services operations following the adoption of automation, particularly after joining cataloging utilities. Responsibilities for copy catalogers have changed or shifted in seven of the eight libraries that have an operational online catalog. As described by libraries, reorganization efforts have focused on ways to reduce duplication of effort and streamline workflow, in order to make the best use of efficiencies promised by automation. Responses indicate a variety of organizational patterns regarding the placement of copy cataloging. In the most prominent and traditional pattern, copy cataloging is organized according to form rather than function, and generally refers to monographs. In these cases, there are separate departments for the acquisition, searching and cataloging (both copy and original) of serials.

Four of the responding libraries, however, have used function as the basis for organization. A centralized copy cataloging unit processes all or most materials regardless of form, apart from an original cataloging department. In libraries which have implemented online catalogs, this type of organization has allowed the original cataloging function to undergo further reorganization, often linking this professional activity with professional responsibilities for reference and collection development. Some libraries are doing copy cataloging as a part of acquisitions immediately upon receipt of materials.

WORKFLOW, PRIORITIES AND PERFORMANCE STANDARDS. All respondents report that member-contributed cataloging and authority work is done by the copy cataloging unit. In eight out of 12 responses, the unit also does some original cataloging. In most cases, the work is done by paraprofessionals only, or by professionals supervising paraprofessionals.

The analysis of workflow is a critical and useful management tool which can spot problems before they occur, especially when trying to accommodate changes with no increase in staff. The structure of workflow reflects cataloging priorities. Libraries surveyed generally place the cataloging of newly received materials as the highest priority along with rush items and those with patron notification. Therefore, items assumed to reflect highest use receive immediate attention in the search and cataloging queue. Within this context, high use often is decided on the basis of where the item is destined, with departmental libraries coming first, followed by general stacks location. In libraries which define copy cataloging as LC or MARC from member contributed copy, items with matching LC/MARC are routed for immediate cataloging by LC copy catalogers. Materials identified as not having acceptable copy (sometimes unacceptable is equated with member contributed copy) are the responsibility of an original/adaptive cataloging unit.

The design of overall copy cataloging workflow does not seem to vary according to the size of collections or the volume of acquisitions, but rather by the way libraries define copy. In most cases, workflow appears to be structured around the level of difficulty of cataloging, together with the levels and numbers of available staff assigned to cataloging. The amount of related tasks, such as pre-catalog checking and editing, also affects workflow and productivity.

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Association of Research Libraries, Office of Management Studies,
1527 New Hampshire Avenue, N.W., Washington, D.C. 20036. Telephone (202) 232-8656.

Along with analyzing workflow, monitoring productivity and quality control are high-level concerns for management of copy cataloging. Most libraries have developed procedures for quality control, but have not established a formal quality review process or performance standards. One library counts errors based on a worksheet, and has determined an average rate for full-time staff of 3.3 records with errors for each 100 records produced. However, counting the number or percent of errors is time intensive and can be simplistic and misleading. Samples are often small, and individuals' error rates can vary from quarter to quarter, as can their volume of work. Counting also does not allow for differences in the seriousness of errors.

To monitor performance, a few libraries have developed a system of checks and balances that includes error-checking, analysis and identification of common problems, ongoing group problem-solving sessions, and formal training programs when new standards or procedures are introduced. Such a systematic approach to quality control helps assure that copy catalogers will know about and understand national standards relevant to their work and will be able to recognize mistakes and raise questions.

Backlogs in copy cataloging develop for a variety of reasons. Waiting to catalog an item until copy or, more often, "acceptable" copy is available on the utility is one practice which encourages backlogs. Also reported as contributing to backlogs are unexpected increases in acquisition of materials. Whatever the reason, libraries are concerned about providing timely access to acquired materials: Only three respondents report that backlogs are not a problem.

STAFF TRAINING. Staff need training in cataloging procedures and codes, but they also need to be socialized as to the value of their work in relation to the goals of the library and meeting increased service needs. By understanding how their work fits into the overall goal of providing timely access to the library's collections, staff members become a valuable resource for developing innovative ways to streamline workflow and increase productivity.

With the growth and development of bibliographic utilities has come the greater use of paraprofessional, technical or clerical staff to handle the shared cataloging. Slightly more than half of the survey respondents report they operate a formal training program, and all but one report a formal evaluation program for copy catalogers. Many libraries report that training of paraprofessional staff remains the responsibility of the unit head and is time-consuming endeavor, especially if there is a high staff turnover. Most libraries train on a one-to-one basis. One library reported implementing a training module into the online environment in response to the need for training a large number of new staff at one time. One advantage to this approach is the timely feedback to the trainee concerning errors and instruction on the right approach. The increased use and availability of microcomputers has generated interest in local development of programs to facilitate training.

TRENDS AND NEEDS. Libraries are at various stages in levels of automation available to support processing and cataloging activities. More ARL libraries are moving from the planning stage to the implementation of online catalogs, and as a result are investigating and evaluating organization, workflow and staffing patterns within that context. At the same time, there are rapid changes in the technology of bibliographic utilities, with increasingly available personal computers to support processing. The more sophisticated and flexible terminals and software (i.e., OCLC's M300 terminal and cataloging microenhancer) virtually eliminate response time and extensive keying as negative factors that reduce efficiency during searching and input.

Such technological advances place a challenge on library managers and staff to monitor and evaluate other areas of copy cataloging operations to ensure an equilibrium of productivity and quality control. More formal quality review processes and established quality standards are needed in order to monitor performance throughout the copy cataloging process. The quality-control procedures now being developed and used can provide a starting point for these efforts.

The SPEC Kit on Managing Copy Cataloging (#136, July–August 1987) contains tabulated survey results, documents such as workflow charts, error report forms, organization charts, procedure outlines, backlog studies, proposals, quality control reports, and training programs from 13 libraries, and a selected reading list. (119 pages)

***

This flyer and kit was prepared by Sharon E. Clark, Associate professor of Library Administration at The University of Illinois, Urbana-Champaign Library as part of the OMS Collaborative Research Writing Program.

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USES OF SPEC KITS

The Systems and Procedures Exchange Center (SPEC) is a clearinghouse operated by the Association of Research Libraries, Office of Management Studies that provides a central source of timely information and materials on the management and operations of large academic and research libraries. It facilitates the exchange of knowledge and documents through SPEC Kits, which are distributed ten times each year to ARL members and other interested libraries. The Kits include topically-arranged groupings of unedited primary source documents – selected for their value to administrators and decision-makers – that illustrate a wide range of alternative approaches to specific issues.

Kit documents come from general membership surveys and from selected libraries contacted directly by SPEC, and most Kits are produced within six months of surveys. The documents' value comes from their variety of ideas, methods, and solutions. They are not viewed as finished products, but rather as points of departure for a library's planning efforts and as stimulants to innovative approaches to problem-solving. As such, Kits do not present answers or prescriptions for any one library; instead they illustrate how selected ARL members are planning for or dealing with particular issues. The worth of any one Kit to a particular library will depend upon the specific topic covered and the library's stage of development in that area.

Materials are selected according to the following criteria:

- Presents an approach of potential value to administrators and decision-makers
- Timely, and dealing directly with the topic under consideration
- Probability of application of ideas or thinking to other library situations
- Illustrative of actual practice, rather than theoretical
- Understandable, readable communication

All together, the materials should provide a range of alternative approaches that complement each other, provide variety, and stimulate comparison and contrast.

Libraries can take advantage of the Kit compilations in a number of ways. Administrators can evaluate the assumptions, methods, and results of other libraries' approaches; compare and contrast them; and use the learnings in their own situations. Library staff members can use the kits as professional development and current awareness tools. Committees and task forces can use them to begin a review of current practices. And the Kits can identify other persons or places to contact for further information. Back-up files in the SPEC office also are available for loan to member libraries. In addition, SPEC will conduct on-demand surveys or analyses geared specifically for a single library.

EVALUATION

Kit Title/Number ______________________________

1. Which uses did the library make of this Kit?

2. Please indicate how useful the Kit was for these purposes.

☐ Very Useful ☐ Quite Useful ☐ Somewhat Useful ☐ Not Useful

3. Do you have suggestions for this Kit or for future Kits?

(optional)

NAME ______________________________

LIBRARY ______________________________

PHONE ______________________________

Please return this form to the SPEC Center, OMS/ARL, 1527 New Hampshire Ave., N.W., Washington, DC 20036

1/82

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ISSN 0160 3582

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Kit 136, July-August 1987

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Tabulated Survey Results

spec
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August 18, 1986

TO: SPEC Liaison/ Copy Cataloging Staff Member

FROM: SPEC Center (Maxine Sitts) and Maxine —
Sharon Clark, University of Illinois

RE: Call for Documents on COPY CATALOGING WORKFLOW
(Targeted Survey to 19 Libraries)

Over the past several months, a number of ARL libraries have requested detailed information on copy cataloging workflow, organization, and staffing. Questions often focus on the assignment of tasks to professionals versus paraprofessionals and on the structuring of workflow to increase productivity.

Your library was chosen to participate in this targeted survey, based on activities in copy cataloging and interest in these issues. From responses to the questions below, and -- most importantly -- your documents, we will produce a SPEC Kit and Flyer within the next six months.

If you would like to discuss any of the questions, please feel free to contact Sharon Clark, who will be available at her home phone number in Champaign, Illinois (217) 352-0548, or after September 1 at work (217) 333-2579. We are asking for responses by September 22, 1986. If you are not able to meet this date or unable to participate, please contact either Sharon or Maxine.

RETURN the survey and documents to: Sharon Clark, Collaborative Research-Writer, Automated Systems Librarian, 216 Library, University of Illinois at Urbana-Champaign, 1408 W. Gregory Drive, Urbana, Illinois 61801. Thank you in advance for your time and interest.

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CALL FOR DOCUMENTS ON COPY CATALOGING WORKFLOW August 18, 1986
TARGETED SURVEY TO 16 ARL LIBRARIES

NAME AND TITLE OF RESPONDENT ______________________________

____

PHONE NUMBER ____________________ May we call you at work? _____yes
_____no

INSTITUTION/LIBRARY ______________________________

****

IN ADDITION TO SUBMITTING DOCUMENTS, IF YOU WISH TO COMMENT ON ANY OF THE FOLLOWING QUESTIONS, PLEASE USE THE BACK OF THIS FORM, OR ATTACH YOUR RESPONSES.

	DOCUMENTS? YES	DOCUMENTS? NO
1. Provide an organization chart or diagram that illustrates how the Copy Cataloging Unit fits administratively in your library.	_____	_____
2. Provide an organization chart or diagram that illustrates how the Copy Cataloging Unit itself is organized.	_____	_____

3. Indicate the number of staff (FTE) in the Copy Cataloging Unit, in the following categories:

0-7 professional
0-22.5 paraprofessional
0-1 other (specify) __________
0-22 clerical
0-18 student

4. Is any original cataloging done in the copy cataloging unit?
8 yes 5 no
IF YES, by whom:
2 professionals only
3 professionals and paraprofessionals
3 paraprofessionals only

5. Is any member-contributed cataloging done in the copy cataloging unit?
13 yes 0 no
IF YES, by whom:
1 professionals only
5 professionals and paraprofessionals
7 paraprofessionals only
1 Clerical

6. Is any authority work handled by the copy cataloging unit?
13 yes _____ no
IF YES, by whom:
1 professionals only
6 professionals and paraprofessionals
5 paraprofessionals only
2 Clerical

COPY CATALOGING WORKFLOW/PAGE 2 DOCUMENTS?
LIBRARY ______________________________ YES NO

7. Enclose readily-available documents (e.g., statistical reports, activity reports) that provide a sense of the level of activity of the Copy Cataloging Unit, e.g., number of titles produced each month or year. ______ ______

8. Are backlogs considered a problem? 8 yes 3 no
Please provide documents such as proposals, committee reports, and studies that deal with backlogs, including statements of priorities. ______ ______

9. Enclose documents such as job postings that describe educational requirements or minimum qualifications for copy catalogers. ______ ______

10. Is there a formal training program for copy catalogers?
7 yes 5 no
What title/position is responsible for the program?
____
Enclose documents that describe the program. ______ ______

11. Is there a formal evaluation program for copy catalogers?
12 yes 1 no
What title/position is responsible for the program?
Enclose documents that describe evaluation, including forms. ______ ______

12. Provide flowcharts, listings of priorities, reports, or other documents that describe the workflow of the copy cataloging department. Or describe briefly. ______ ______

13. Provide documents that illustrate any quality control or performance standards within the copy cataloging department. Or briefly discuss. ______ ______

14. If your library has an online catalog, provide documents that have examined changes in workflow or production, e.g., implementation reports, committee reports or studies, or statistical comparisons of changes. Or briefly discuss. ______ ______

15. If your library has an online catalog, have responsibilities for copy catalogers changed or shifted? 7 yes 1 no.
IF YES, provide revised job descriptions, or describe briefly. ______ ______

RETURN the survey and documents by September 22, 1986 to: Sharon Clark, Collaborative Research-Writer, Automated Systems Librarian, 216 Library, University of Illinois at Urbana-Champaign, 1408 W. Gregory Drive, Urbana, Illinois 61801.

Management Documents

OHIO STATE UNIVERSITY 9/86

Workflow in Search/Distribution and Copy Cataloging Sections

Monographs are received from several units of the OSU Libraries, principally the Acquisition Department. Slavic books are received from the Language and Area Studies Department.

As books are received, a brief in-process record is added to the online catalog. Books are charged in the online catalog's circulation component to the Search/Distribution Section to facilitate retrieval by staff for users and generally to control the flow of material through processing.

Books are sorted into several categories, including rush processing, music scores, analytics, Japanese, Slavic, duplicates, added volumes, other special categories, and books for the normal flow.

Books requiring rush processing are searched on OCLC (and, in some cases, elsewhere, e.g., NUC) immediately and forwarded to a copy cataloger if acceptable copy is found or to an original cataloger, if copy is not found.

Acceptable copy includes OCLC records with an 050 or 090 LC type call number and LC subject headings. However, certain literary works may be acceptable without LC subject headings.

Music scores, analytics, Oriental language, and Slavic language books are searched separately, then passed on to specially trained copy catalogers if acceptable copy is found. If acceptable copy is not found, the books are stored ("backlogged") by date of charge and category.

Books for the normal flow are searched on OCLC in two ways, i.e., LC Card Number and other. Books which contain an LCCN are searched by students via the OCLC Cataloging Microenhancer and records are downloaded for editing. Books without LCCN are searched by staff members and records are downloaded to a save-screen disk for later transfer to a Cataloging Microenhancer disk for editing. Books for which acceptable copy is not found are stored by charge date and location for future processing. However, when a patron requests a book in storage it will be processed on demand by the appropriate cataloging section.

Books in storage without copy are held until current processing is up to date in copy cataloging. When copy cataloging is up to date, books are pulled from storage by Search/Distribution staff and searched again. Books with acceptable copy are sent to copy catalogers for processing. Books without acceptable copy are returned to storage. However, if books are stored for more than a brief time they are routinely searched for copy again. Materials are stored in the controlled backlog until copy is found, until an item is recalled, or until an item is selected for original cataloging by a priority established by departmental librarians in consultation with liason catalogers in the Monographic Cataloging Section.

Copy catalogers do editing for the normal flow offline using the cataloging microenhancer.

As records are edited, a paper workform is filled out. The workform includes all changes from the record as found on OCLC. A copy of the order slip (if present) is attached to the workform.

Workforms are filed by date of OCLC production and sent to the Card Maintenance Unit (CMU) which is a part of the Catalog Maintenance Section (CMS). The CMU compares the workform to the shelflist card received from OCLC. If the card is correct it is filed in the card shelf list.

The CMS also receives edit reports of the interface of OCLC records with our online catalog from the University's Computer Center. Many problems are identified and resolved by the CMS. However, certain problems, such as call number discrepancies between workforms and shelf list temporary slips, are returned to copy catalogers for resolution.

During copy cataloging the following procedures take place. Verification implies that modification is made when necessary.

Series verification in OSU online authority file.

Preliminary shelflisting using OSU online catalog.

Verification of title fields for correctness and appropriateness.

Verification of entries. Entry verification is for appropriateness of entry, not form of entry. Form of entry is verified later by the Headings Maintenance Unit.

Verification that subject headings appear to be appropriate and are in LC format.

Verification of edition statements, imprints, physical description, notes for correctness and appropriateness.

Local holdings are added.

Call number is written in books for label production (which is done manually, on a SE-LIN typewriter, in the labeling section of the Preservation Office).

A final check of the card shelflist is performed after copy cataloging (books are retrieved if problems are uncovered).

After copy cataloging books are charged to a special code to indicate that cataloging has been completed but a full catalog record is yet to appear online, and sent to labeling.

Some very limited copy cataloging is done in the Monographic Cataloging Section (MCS) and in the Catalog Maintenance Section (CMS), as explained below.

In MCS professional catalogers complete copy which lacks valid LC-type call numbers and/or LC subject headings. In our last fiscal year (July 1, 1985-June 30, 1986) MCS performed this process for about 9600 records. This total is not included in item 7.

In CMS paraprofessionals do copy cataloging to add records for titles which need extensive maintenance, e.g., when processing additional copies of already cataloged items for which our online catalog contains only a brief (circulation) record. In the last fiscal year CMS did copy cataloging of about 1000 records. This total is included in item 7.

Backlogs

Backlogs are considered a problem at OSU. A memo is attached describing some aspects of backlog processing. (Note that the "Editing backlog" of ca. 10,000 titles, i.e., currently on hand titles known to have acceptable copy on OCLC, has almost completely been eliminated. Substantial backlogs exist in materials not found on first search of OCLC and in several large blocks of mostly non-English language materials.) In addition, we have scheduled three short-term overtime projects to process backlogs of new materials when our budget permitted. Our plans for the future include consideration of procedures for minimal level cataloging and collection level cataloging.

July 23, 1985

OSU

The Ohio State University

University Libraries
1858 Neil Avenue Mall
Columbus, Ohio 43210-1286
Phone 614-422-6151

MEMORANDUM

SUBJECT: The State of Technical Services, 1985

DATE: 16 July 1985

FROM: William J. Crowe, Assistant Director for Technical Services

TO: Library Faculty and Staff

I want to share with you a brief commentary on the state of Technical Services, both as general information and preparatory to discussions that I plan to have during the 1985/86 academic year within Technical Services and then with HUDL and MLPS about processing priorities, minimal level cataloging, cataloging policy, and technical services policy in general.

Ms. Morita's end-of-May 1985 report describes much of our most visible challenge. "Editing" backlogs now total at least 10,000 titles, i.e., there is known to be cataloging copy on OCLC for that number of titles which we cannot readily process. This represents more than eight months normal work for the APD editing unit. In addition, APD has another "current" backlog (not including "old" backlogs, such as "PREA") of more than 4,000 titles. Among them are gifts for Main (represented on LCS with X numbers) which are not even searched on OCLC for copy, but are sent directly to storage from Acquisition. Since we are not processing any of these items except rush requests and some duplicates, the number of titles in this category is steadily increasing. Also, the number of gift items in location libraries is yet to be estimated, but represents a significant latent backlog. In the Catalog Department, we have gone from essentially no "current purchase" original cataloging backlog in the late 1970's to more than 4,000 titles (not counting separately maintained backlogs for some International Studies areas). In the Acquisition Department, the very positive impact of INNOVACQ notwithstanding, challenges abound: in planning for better

20

control of serials, in building on gifts and exchange activities, and simply in processing order requests, reports and newly acquired items in a timely manner.

In the library materials budget-tight 1970's, as many of us know, there were -- as always -- some problems in Technical Services, but, effectively, no comparable "current" processing backlogs. Typically, items were ordered and dispatched with reasonable speed and items with catalog copy on OCLC were processed within 24 hours of receipt or cataloged originally within a few weeks after a second search of OCLC, certainly well within a year after their receipt. The mushrooming level of expenditures for acquisitions is of course primarily responsible for the challenges we face, but many other elements have contributed (some key personnel turnover; new projects -- analytics on LCS, for example; and more demanding attention to online catalog records, including online authorities control). As elsewhere in the Libraries, Technical Services has continued to work toward more efficient use of personnel and equipment (for example, the major restructuring in both the Acquisition and Automated Processing Departments; the addition of four OCLC terminals and redeployment of some LCS terminals since 1980; and, of course, INNOVACQ has been a boon to all of us). But our problems, in common with others in the Libraries, of seriously inadequate levels of staffing and equipment and insufficient/inefficiently arranged work space continue to impede progress.

My intent has been to provide some background to prepare for the discussions mentioned, which are to be framed as proposals for solutions, including some, limited, reallocations of personnel; continuing review of internal processing routines; rigorous examination of cataloging policy; and, within the next two years, I hope, judicious additions of personnel/equipment (some of which has already been proposed and achieved, some yet to be proposed).

Lest it seem that I have only the negative to share, I close with a brief recapitulation of some of the more visible efforts/innovations of library faculty, staff, and student assistants in Technical Services during the last two years, for it is due very much to their skills, imagination, and dedication that so much has been achieved so well:

- Absorption of processing activity associated with a near 100% increase (over three years) in funds available to acquire library materials (with roughly a tripling in activity)

- Large-scale changeover of bibliographic, processing, and fiscal data to INNOVACQ
- Reinstitution of cyclical claiming of serial items not received
- continuing work on the changeover to AACR2, the final stage of changeover to an online catalog, and associated changes in maintenance of bibliographic and holdings records
- Successful use of Library of Congress name and subject authority data in LCS (and great progress in clean-up of LCS headings)
- Institution of "online data collection" processes for LCS headings control
- Beginning a systematic reconciliation of the card shelflist with LCS
- Institution of cataloger-liaisons between the Catalog Department and location librarians/bibliographers.
- Lifting of the moratorium on cataloging for location-received serial titles
- Addition of the LCS location code to labeling data
- Advanced planning for retrospective conversion of bibliographic records

WJC:jd

cc: William J. Studer
Jill Fatzer
Jay Ladd

Quality Control

Copy catalogers' errors are counted based on the attached worksheet. The quality of an individual's work is considered in relation to that person's experience, the complexity of materials an individual catalogs, and the entire group's error percentage (titles edited/number of errors). The average for full-time staff is about 3.3 records with errors for each 100 records produced.

13. Quality Control Error Report

________ to ________

CALL NUMBER PROBLEMS																
Call # Discrepancy																
Duplicate Call #																
Multiple Call #																
No Call #																
ZC																
HOLDINGS/LOCATION																
Duplicate Copy #																
Holdings Discrep.																
Location Problems																
Incorrect 949																
Incorrect 049																
BIB. RECORD PROBLEMS																
Field Missing																
Typo																
NFC																
Language																
910 FIELD ERRORS																
Format																
No Master Record																
CARD SNAGS																
No temp slip																
No workform																
BOOK Marked WRONG																
CIRC/SAVES																
MISCELLANEOUS																
TOTAL ERRORS																
TOTAL PER PERSON																
TOTAL TITLES																
ERROR %																
- ERRORS																

7/86

2. Organizational Chart

Cataloging Department, Copy Cataloging Section (CCS) and Search/Distribution/Support Section (SDS)

- Head, Cataloging Department
1 FTE, Professional
  - Head, Copy Cataloging Section
1 FTE, Professional
    - Copy Cataloging Unit
      - Library Associate I
3 FTE, Paraprofessional
        - 1 Music
        - 1 Microforms/Special Collections
        - 1 Analytics
      - Library Media Technical Assistant II
8.75 FTE, Paraprofessional
        - 4 General
        - 1 Slavic
        - 1 Japanese
        - 1 Arabic
        - 1 Machine-Readable Data Files
        - .5 Spanish
        - .25 Hebrew
      - Graduate Research Assistant
.5 FTE, Student
        - .5 Hebrew
    - Inputting Unit
      - Students
2 FTE, Students
  - Head, Search/Distribution/Support Section
1 FTE, Paraprofessional
    - Search/Distribution Unit
      - Library Media Technical Assistant I
1 FTE, Paraprofessional
        - 1 General Search/Microcomputer Assistant
      - Library Media Technical Assistant II
2 FTE, Paraprofessional
        - 1 General Search
        - 1 Slavic Search
      - Students
2 FTE, Students
    - Support Unit
      - Library Assistant I
1.5 FTE, Clerical

PENNSYLVANIA STATE UNIVERSITY

TRAINING FOR COPY CATALOGERS AT PENN STATE

by

Marie Bednar*

I will talk about the training program we have developed for copy catalogers to equip them with the vast amount of knowledge they need to create bibliographic records using a computer system. I'll also mention how we use the computer itself to help us with the training process.

First I need to briefly mention what is Penn State up to with automation, since our automation program prompted and shaped the developed of the training program.

Penn State is developing an integrated, online system, LIAS, designed to meet all processing and access needs of its main campus and 19 affiliated campuses in the state of Pennsylvania. Three basic interactive components of LIAS have already been implemented. The online cataloging function and the circulation function have been in place for over 4 years, the public access since 1983. The automated authority control and acquisitions are expected in 1986. LIAS database contains 1.1 million unique records. This includes virtually all of our cataloged holdings in all formats. The LC MARC tapes, which are an integral part of LIAS, are a cheap and chief source of cataloging copy for current processing and were a cheap source of instant online records for our in-house retrospective conversion.

In order to train a large support staff in the new skills needed to carry out full retrospective conversion in all formats and in the skills needed for online copy cataloging, we have developed a comprehensive, computer-based training program. The training is formalized, intensive and is carried out in small groups. It has enabled us to efficiently train staff to work in the online environment with variety of formats and has helped us to deal with turnover by allowing us to quickly integrate new personnel into the workflow. The computer-based, group training is supplemented by the traditional one-on-one training combined with revision.

I will focus on training programs developed for the monographic format, although similar instructional packages exist for other formats. First, I will describe the four successive steps of the monographic training program, then I will go over the methods we have used in the program.

The first step of the training is a general tagging course, developed primarily to teach conversion of catalog cards into the machine readable form. This course was first taught in 1977 and is aimed at new staff with no previous cataloging experience. The second part of the training, called "Edit" which is taught concurrently with the tagging course, teaches how to manipulate the data by using LIAS edit commands. As staff learns to recognize and tag data by inputting it into online records, they also practice manipulating that data.

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* Presented at the RTSD CCS Copy Cataloging Discussion Group, ALA Annual Convention, Chicago, Ill., July 8, 1985.

The next step of the training is taught after the trainees have thoroughly mastered the MARC tags and the use of the system. It is called Minimum Level Processing (or MLP) and it was first taught in 1981. In the MLP course, the trainees are taught to recognize and evaluate elements of bibliographic description in the book itself and transcribe those elements into online records, using slightly simplified AACR2 rules. The minimum level records or MLP records are preliminary but fairly substantial records. They contain all descriptive fields with the exception of notes and they also include basic access points. A quick look at the online workflow is now needed so that you can see what is the purpose of the MLP record. The MLP records are created for all titles without MARC or OCLC member copy at the time of processing. The MLP records provide access and control until full cataloging is obtained from our online MARC tapes or from OCLC during periodic re-search cycles, or until our original catalogers update the MLP records to full standard, whichever comes first. The MLP titles awaiting full cataloging are shelved in the stacks and are available to patrons as the fully cataloged books.

Now back to the training program. After the trainees complete the formal MLP course they are ready to start copy cataloging, except they still need additional instructions on how to handle, for example, MARC CIP (we accept full MARC records virtually as they are), how to update the MLP records using OCLC member copy, how to recognize problems that need to be referred to paraprofessionals or professionals, etc. This last component of our training for copy catalogers uses the traditional one-on-one approach and individual revision.

Now I want to discuss some of the methods we have used in our formal training for copy catalogers. Again, I will focus on the monographic format, although similar methods have been used for instruction in other formats.

Our training has the following basic characteristics:

1) we use formalized training manuals
2) the training is intensive and is carried out in small groups
3) daily hands-on experience is integrated into the training
4) prompt feedback is provided, using computer-generated printout of errors

I will now say a few words about each point.

The formalized training manuals facilitate learning by presenting the new material in a systematic and comprehensive manner. The manuals also assure consistency of teaching which is important, since over the years numerous instructors needed to be involved in the training. The following manuals have been developed for each course: the basic text, to be used as a reference manual after the completion of the training, the exercise manuals and an instructor's manual.

Now I want to give you some idea of how the manuals are organized. The basic MLP text, for example, first gives a definition of a descriptive element, say a subtitle, followed by guidelines on where to find the element in the book. Finally, instructions are given on how to transcribe the element into an online record — for example, what to include or omit, what punctuation to use, what to capitalize, etc. The second type of a manual are the written and online exercise manuals, which provide carefully structured daily practice. In the tagging course the trainees are working from catalog cards. In the MLP course, they transcribe cataloging elements from selected title pages and other preliminaries. For the MLP course, in addition to the basic manual and the exercise manuals, we have also developed an Appendix containing over 100 examples of title pages (and other preliminaries) with corresponding MLP records. The Appendix gives the trainees the needed exposure to the strange and wonderful ways publishers present bibliographic data in the book. An instructor's manual, also developed for each course, makes the preparation easier for the instructor and further fosters consistency of teaching.

The second characteristic of our training program is its intensity and the fact that it is carried out in a small group of up to six trainees. This was very important initially, during the transition from the manual system, when we had to train all staff in the new procedures. Nowadays, we usually train only two people at a time. As far as the length of the formal courses is concerned, the basic tagging course, taught in conjunction with the edit course, takes 15 days, the MLP course for monographs takes 13 days. Immersing the trainees full time into the learning of the new tasks, allows them to concentrate on the new material without being distracted by any other activity. Some trainees, however, found the intensive training stressful, especially those who have been out of school for a while. For that reason we have started for some trainees to intersperse the days of training with days of an involvement with a familiar activity. Generally, however, we have found the intensive training in a small group not only much more efficient than the traditional one-on-one training, but also very effective because the group situation tends to foster spirit of cooperation among the trainees and thus it makes the training less stressful.

Another important characteristic of our training program is the hands-on experience built into the program. Beginning with the first day of the training, the trainees engage in creating online records either from catalog cards (for the tagging course) or from the title pages and other preliminaries, in the case of the MLP training. The trainees input 10 or more records each day. Then the trainees' records are run against master records stored in the computer and a printout is made of fields containing any differing data. The printout is examined and annotated by the instructor and returned to the trainee. The uncompromising nature of the computer when it comes to detecting errors teaches the trainees to be very attentive to details, since they hate to see long printouts of errors. The attention to detail is critical in an online environment, since even minor errors can cause retrieval problems.

The last point I want to emphasize about our training program is that it also provides prompt feedback. By means of the computer-generated printouts I have just mentioned, the trainees are quickly reinforced when a concept is applied correctly or they quickly realize when they have made a mistake. Besides the computer-generated printouts of fields with erroneous data, the written exercises and the authorization tests are other feedback mechanisms. The written exercises are done each day after completion of the reading assignment and studying the examples. This way the trainees can immediately test how well they understood the material they have just read. The written exercises are also discussed in the class. The authorization tests administered at the end of the training is another feedback mechanism similar to the online exercises. The test is a means of measuring objectively and consistently, the trainees' proficiency before they engage in working with the system in real life.

By using the variety of techniques I have described, we have increased the efficiency of training of copy cataloging staff. The training that would have traditionally taken months of revision is accomplished within a few weeks. By using the computer for the exercises we have provided the trainees with a lot of experience with the system before they start working with it for real. Having the system correct the online exercises relieved us from some of the druggery of correcting them.

After many years of successful experience with our training program, we are now faced with a need for a major revision. Since we are nearly finished with the retrospective conversion, it will soon make little sense to teach tagging using catalog cards. Our plan is to develop a new training program which would teach tagging, system's use, mlp procedures, and copy cataloging using the same, time-tested methods of detailed training manuals; intensive training in a small group; daily online exercises and prompt feedback using computer generated printout of errors.

Effects of automation of cataloging on productivity

The new online cataloging workflow and the new division of cataloging tasks between clerical staff, paraprofessionals and professionals (described in document for question #12), has resulted in increased productivity in cataloging. This increase, however, is probably more directly related to the availability of LC MARC and OCLC member cataloging than to internal changes in the workflow. However, any precise figures to document increased productivity in cataloging are extremely hard to come up with.

First of all, comparison of staffing before and after automation can only be done very roughly because it is difficult to compare two totally different organizational structures. Generally speaking, however, before automation there were approximately 35 people involved, essentially full-time, in cataloging and direct support activities, such as establishing headings. In 1981 and after, about 25 people were involved full-time in cataloging. Thus, since the overall departmental productivity in cataloging before and after automation is comparable and the total staff involved has been reduced, the individual productivity must be up. Secondly, to compare the individual productivity of the three groups involved in cataloging before and after automation is not fruitful either, since the job content of the three groups has changed drastically.

Besides comparing productivity before and after automation, an equally important comparison can be made that of elapsed time needed for processing an item and here the improvement has been dramatic and obvious. While in our manual card-based system the time of processing for an average book may have been 1-6 months, in the online workflow it is typically 1-6 weeks.

Changes in responsibilities of copy catalogers

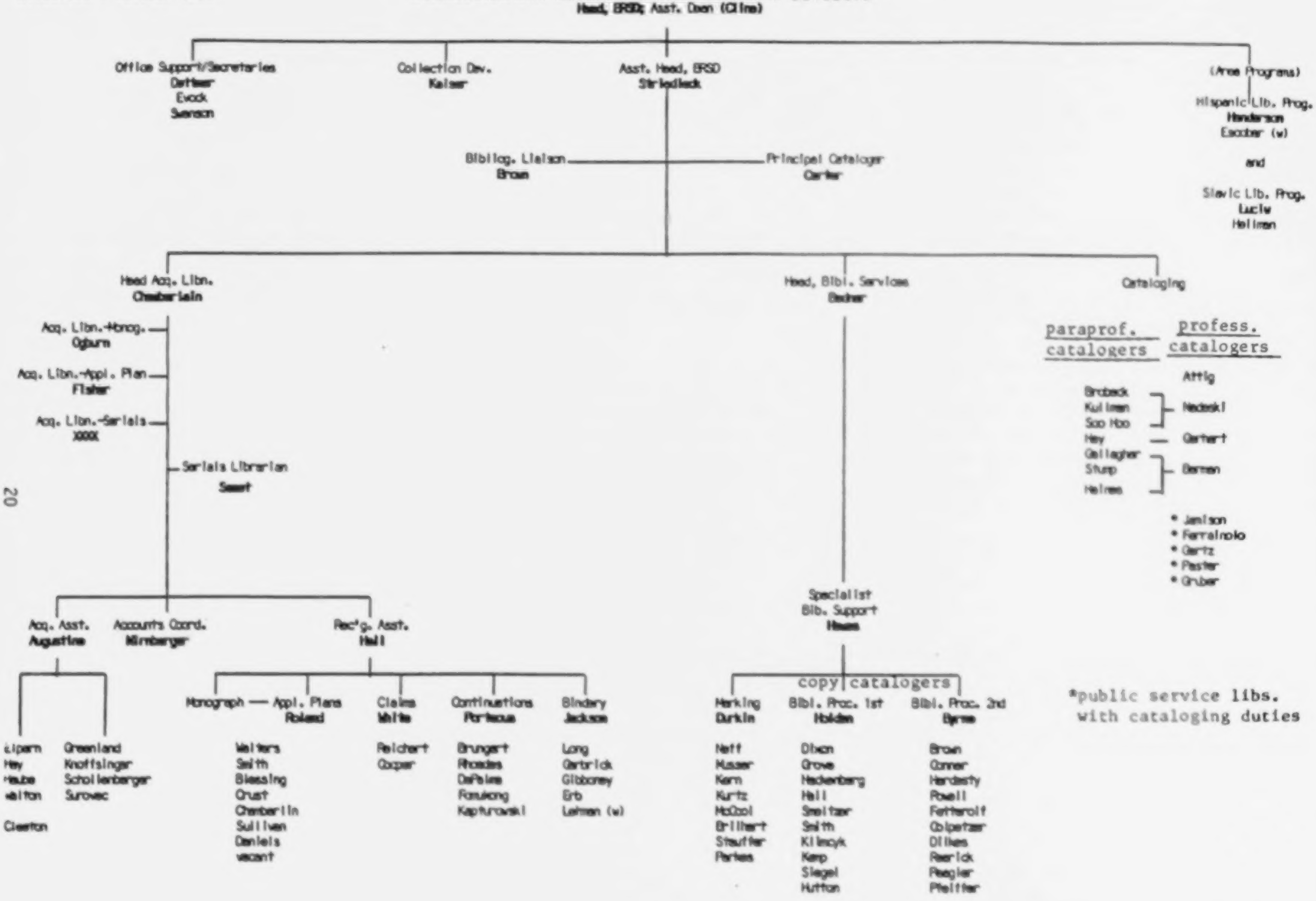
Prior to automation clerical copy catalogers worked only with LC copy and did all authority checking and establishing of new entries for all titles they processed. The paraprofessional copy catalogers worked with OCLC member copy and also did all authority work in connection with those titles.

After automation of cataloging the clerical copy catalogers (now in a section called Bibliographic Processing) work with LC MARC and OCLC member copy and they also create preliminary records for all monographic titles without copy at the time of processing. In terms of authority work, they verify only the series entries in the authority file, but do not establish new series headings. They also perform online catalog maintenance, retrospective conversion and all pre-order searching.

The paraprofessionals (now a part of Cataloging) establish all new series, catalog items with edition copy and literary works without copy. They also do serials, microform and music copy cataloging.

BRSD Proposed Organization
Effective 1 October 1986

BIBLIOGRAPHIC RESOURCES AND SERVICES DIVISION


Head, BRSD; Asst. Dean (Cline)
Office Support/Secretaries
Dettmer
Evock
Swanson
Collection Dev.
Kaiser
Asst. Head, BRSD
Striedieck
(Area Programs)
Hispanic Lib. Prog.
Henderson
Escobar (w)
and
Slavic Lib. Prog.
Luciw
Hellman
Bibliog. Liaison
Brown
Principal Cataloger
Carter
Head Acq. Libn.
Chamberlain
Acq. Libn.-Monog.
Ogburn
Acq. Libn.-Appl. Plan
Fisher
Acq. Libn.-Serials
XXXX
Serials Librarian
Smart
Acq. Asst.
Augustine
Accounts Coord.
Wirnberger
Rec'g. Asst.
Hall
Lipern
Hay
Haube
Walton
Clewton
Greenland
Knoffsinger
Schollenberger
Surovec
Monograph — Appl. Plans
Roland
Walters
Smith
Blessing
Crust
Chamberlin
Sullivan
Daniels
vacant
Claims
White
Reichart
Cooper
Continuations
Porteous
Brungart
Rhoades
DePalma
Fonukong
Kapturowski
Bindery
Jackson
Long
Gartrick
Gibboney
Erb
Lehman (w)
Head, Bibl. Services
Becher
Specialist
Bib. Support
Hawes
copy catalogers
Marking
Durkin
Neff
Musser
Kern
Kurtz
McCool
Brilhart
Stauffer
Parkes
Bibl. Proc. 1st
Holden
Dixon
Grove
Heckenberg
Hall
Smeltzer
Smith
Klimcyk
Kemp
Siegel
Hutton
Bibl. Proc. 2nd
Byrne
Brown
Conner
Hardesty
Powell
Fetterolf
Colpetzer
Dillon
Resrick
Reegler
Pfeiffer
Cataloging
paraprof. catalogers
profess. catalogers
Attig
Brubeck
Kullman
Soo Hoo
Nedeski
Hay
Gerhart
Gallagher
Stump
Helmes
Berman
* Jamison
* Ferrainolo
* Gertz
* Paster
* Gruber
*public service libs. with cataloging duties

PENNSYLVANIA STATE UNIVERSITY

DRAFT
09/15/86

STANFORD UNIVERSITY

Since the Catalog Department reorganized in October 1, 1983, the Copy Cataloging Section (CCS) has managed to keep current in cataloging all copy cataloging incoming materials. However, the Section is reponsible for the following groups of backlogs:

a. Pre- October1983 Copy cataloging backlog .
b. Pre- October 1983 Catalog dept. backlog. (roughly 32,000 titles)

For the past few years, the Section has been clearing different categories of backlogs, and during this fiscal year, 7/1/86 through 6/30/87, the CCS plans to deplete 8,000 titles from the backlogs.

Workflow of the CCS is described on flowchart numbered 12.
The following list of copy cataloging work, listed in descending order of priority, is observed in the CCS:

Group 1	Rush books	catalog in 1 day
	Priority 2 books	catalog in 5 days
	NO SUL ACQ (i.e., records without Stanford acquisitions record)	catalog in 5 days
	Monographic Processing Plan books (i.e., PUB books)	catalog in 5 days
Group 2	Added copies	
	Added volumes	
	Serial analytics	
Group 3	Incoming books (i.e., books with acquisitions records) these books are worked on according to chronological order.	
	Backlogs: a. CCS backlog (pre-October 1983) b. Department backlog (pre-October 1983)	

Performance standards:

Production standards - We do not distinguish between LC and member copy. We do not have formal standards at this time, but our expectation is that each staff member will catalog minimally 350 titles per month.

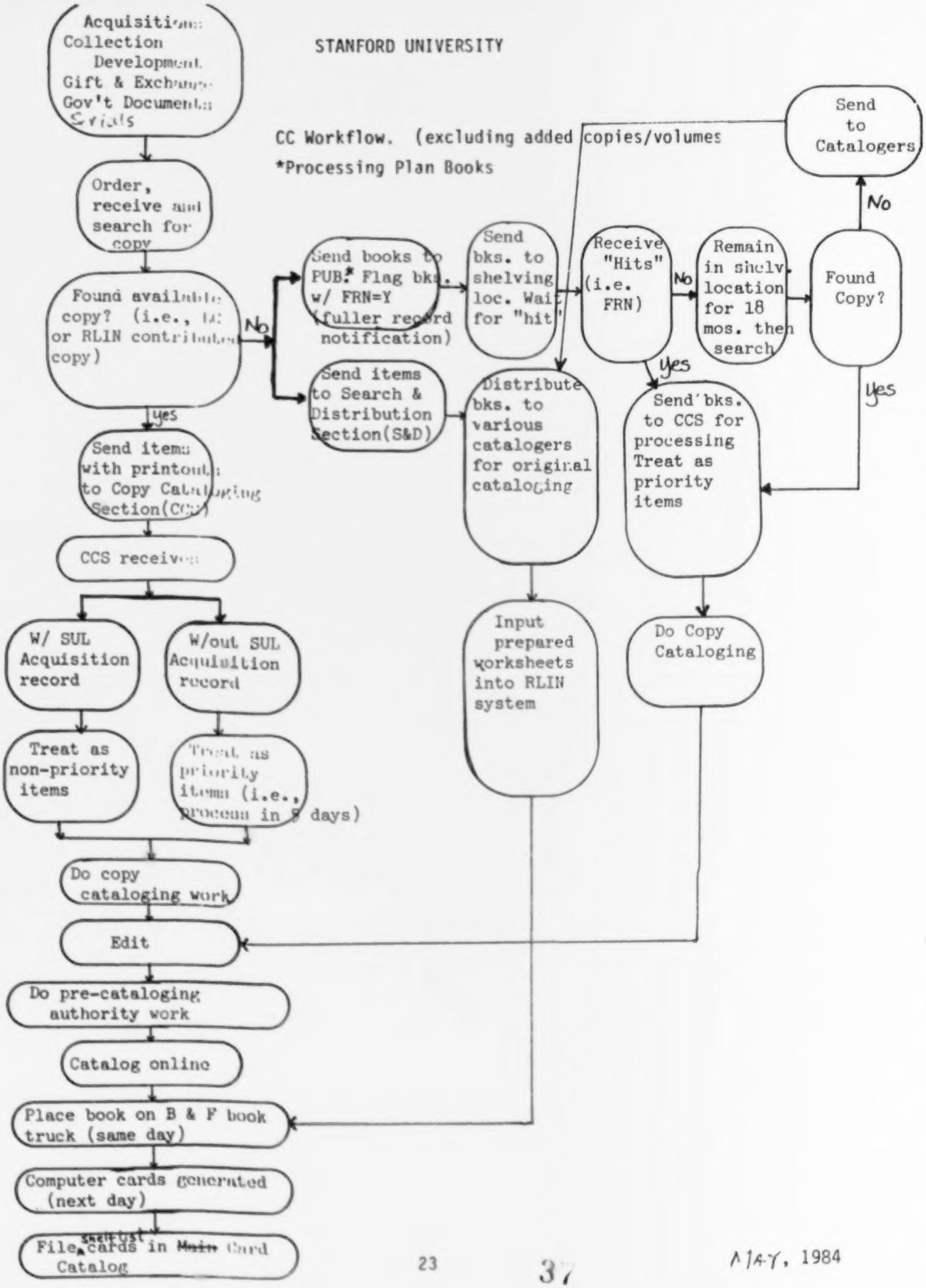
Quality standards - The department is currently in the process of developing mechanisms for implementing quality control for the entire department. Once the report from the Committee on Quality Control Mechanisms gets finalized, it will soon be implemented.

Currently the CCS heads perform monthly spot revision of 8 books which contain series and name heading authority work, bibliographic modifications and MARC tags and codings. In addition, cards with typos or heading conflicts are "bounced" during shelflist filing. We also have a printed error report form for use by public service units and an on-line error reporting system in our on-line catalog, Socrates.

STANFORD UNIVERSITY

CC Workflow. (excluding added copies/volumes

*Processing Plan Books


Acquisitions Collection Development Gift & Exchange Gov't Documents Serials
Order, receive and search for copy
Found available copy? (i.e., LC or RLIN contributed copy)
No
Yes
Send items with printouts to Copy Cataloging Section(CCS)
CCS receives
W/ SUL Acquisition record
W/out SUL Acquisition record
Treat as non-priority items
Treat as priority items (i.e., process in 8 days)
Do copy cataloging work
Edit
Do pre-cataloging authority work
Catalog online
Place book on B & F book truck (same day)
Computer cards generated (next day)
File shelflist cards in ~~Main~~ Card Catalog
Send books to PUB.* Flag bks. w/ FRN=Y (fuller record notification)
Send items to Search & Distribution Section(S&D)
Send bks. to shelving loc. Wait for "hit"
Distribute bks. to various catalogers for original cataloging
Input prepared worksheets into RLIN system
Receive "Hits" (i.e. FRN)
No
Yes
Send bks. to CCS for processing Treat as priority items
Do Copy Cataloging
Remain in shelv. location for 18 mos. then search
Found Copy?
No
Yes
Send to Catalogers

MAY, 1984

STANFORD UNIVERSITY

REVISION IN THE COPY CATALOGING SECTION

Revised 10/84

Training Process

Each type of copy cataloging work is introduced to a new staff in a sequence that is listed below. The pace of progressing from one category to another varies from individual to individual. Usually the supervisor, while working closely with the new staff, makes the decision of when to introduce the more complicated tasks based on the staff's learning rate and output quality.

Categories of copy cataloging work in increasing order of complexity:

1. Simple MARC copy (i.e., MARC copy that doesn't require any authority work)

   A copy cataloger is expected to learn the MARC editing process, get familiar with the numeric tagging, on-line cataloging, and learn the basic descriptive cataloging rules (both AACR2 and pre-AACR2).

2. CIP copy with no authority work (i.e., MARC copy with incomplete bibliographic information)

   A copy cataloger is expected to know more of the descriptive cataloging rules in order to complete the bibliographic information and subsequently add, modify or delete certain corresponding fixed fields.

3. MARC copy with simple authority work

   This category includes those that require authority work on corporate name, and straight forward type of series entered under title. A copy cataloger is expected to be quite fluent in performing the above types of work and be able to perform some searching in the card catalog and in few other bibliographic reference sources, such as NA, LCR, and MS. After searching, a copy cataloger needs to set up corporate name authority card, series main card, and series not made card.

4. MARC copy with corporate name authority work and series authority work of more complicated nature

   At this point, a copy cataloger is expected to be quite knowledgeable about the difference between AACR2 and pre-AACR2 types of headings. One needs to develop a good sense to perform searching for headings that bear certain degree of subtlety. In addition, in a situation when a heading is causing conflicts with another heading, a copy cataloger should use his/her judgment to refer to the appropriate bibliographic tools in order to resolve the conflict. A copy cataloger is also expected to know how to set up series main and series not made cards that are involved with subseries, uniform titles, and corporate names.

5. RLIN contributed copy

After a copy cataloger is equipped with the knowledge of MARC copy processing, he or she is expected to catalog copy that are derived from other contributing libraries. Procedures for processing RLIN contributed copy require special handling in the areas of call number, series, and name heading.

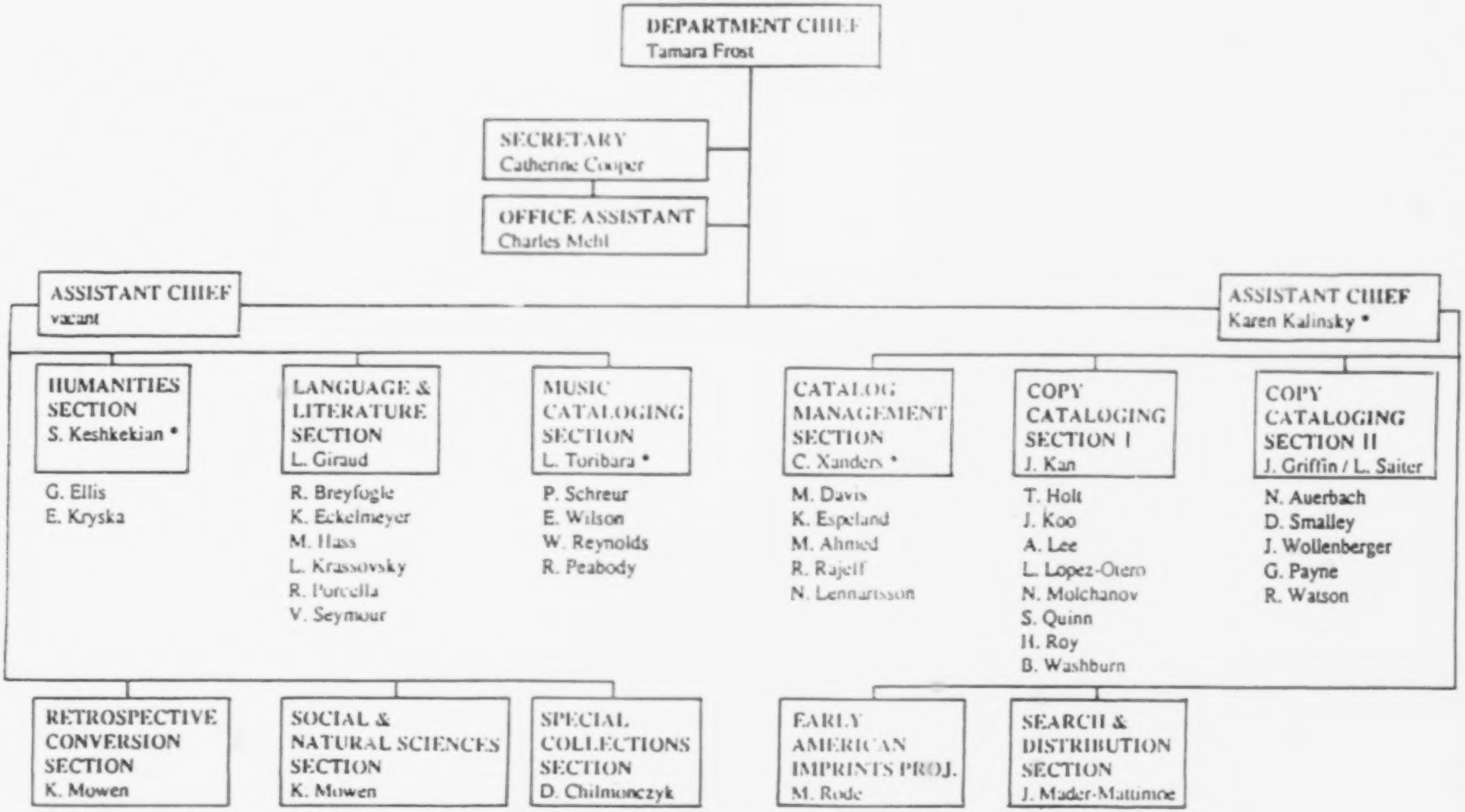
6. LC printed copy.

This category of work is introduced to the staff only when the unit is keeping current with the incoming MARC and RLIN copies. A copy cataloger is expected to provide full numeric tagging, coding, and to observe RLIN standards as well as to carry out all the above mentioned authority work.

Revision Process

During the training stage, the supervisor works closely with the staff. Every book is being revised on a daily basis; the supervisor usually promptly refers back to the staff any problems that are discovered during revision. The length of the training process, though varying from one individual to another, usually takes 4 to 6 months for one to reach a level of reasonably good performance. Once the staff is considered to be doing a competent job in all facets of the copy cataloging work, the supervisor will then cease complete revision and begin to revise only certain categories of material (8 books per month).

Stanford University Libraries
CATALOG DEPARTMENT



DEPARTMENT CHIEF
Tamara Frost

SECRETARY
Catherine Cooper

OFFICE ASSISTANT
Charles Mehl

ASSISTANT CHIEF
vacant

ASSISTANT CHIEF
Karen Kalinsky *

HUMANITIES SECTION
S. Keshkekian *
- G. Ellis
- E. Kryska

LANGUAGE & LITERATURE SECTION
L. Giraud
- R. Breyfogle
- K. Eckelmeyer
- M. Hass
- L. Krassovsky
- R. Porcella
- V. Seymour

MUSIC CATALOGING SECTION
L. Toribara *
- P. Schreur
- E. Wilson
- W. Reynolds
- R. Peabody

CATALOG MANAGEMENT SECTION
C. Xanders *
- M. Davis
- K. Espeland
- M. Ahmed
- R. Rajeff
- N. Lennartsson

COPY CATALOGING SECTION I
J. Kan
- T. Holt
- J. Koo
- A. Lee
- L. Lopez-Otero
- N. Molchanov
- S. Quinn
- H. Roy
- B. Washburn

COPY CATALOGING SECTION II
J. Griffin / L. Saiter
- N. Auerbach
- D. Smalley
- J. Wollenberger
- G. Payne
- R. Watson

RETROSPECTIVE CONVERSION SECTION
K. Mowen
- C. Fu
- A. Stanton

SOCIAL & NATURAL SCIENCES SECTION
K. Mowen
- J. Dible
- R. Hurowitz
- R. Kronick
- J. McLouth
- V. Pisano

SPECIAL COLLECTIONS SECTION
D. Chilmonczyk
- R. Lunnon
- C. Leadenham
- M. Lunnon
- S. McMahon
- J. Brody

EARLY AMERICAN IMPRINTS PROJ.
M. Rode
- D. Bratman
- B. Hinman
- J. Mustain
- J. Ellisen

SEARCH & DISTRIBUTION SECTION
J. Mader-Mattimoe
- F. Bennet
- N. Bryant
- L. Rabinov
- L. Silzorant
- C. Pagels
- I. Simpson

* ACTING

January 1986

2. Organization chart for Copy Cataloging Section

Copy Cataloging Section I (Section Head, 1 FTE)
This section handles mainly current incoming materials which include:
- copy cataloging work (LC/MARC/RLG member copy)
- added copies
- added volumes
- serial analytics

Copy Cataloging Section II (Section Heads, 2 .5 FTE)
This section handles mainly backlog maerials which include:
- Monographic Processing Plan books (i.e., PUB books)
- California State Documents materials
- Backlogs

Section I and II report to Assistant Chief.

University Libraries
518/442-3628

State University of New York at Albany

Cataloging Department, Library B35A, Albany, New York 12222

COPY CATALOGING AT THE UNIVERSITY AT ALBANY

BY JUDITH HUDSON
HEAD, CATALOGING DEPARTMENT

The Bibliographic Processing Unit has the primary responsibility for the pre-cataloging searching and copy cataloging of monographic materials which are to be added to the libraries' collections. The unit, which consists of 5.8 FTE Library Technical Assistants (LTAs) and 1 Data Entry Machine Operator, is part of the Cataloging Department and is supervised by the Head of the Cataloging Department.

JOB RESPONSIBILITIES

The LTAs catalog monographs for which acceptable cataloging records are available on the RLIN data base. Acceptable records include those prepared by the Library of Congress at full level and those cataloged at full level by a select group of RLG member libraries. In addition, the LTAs upgrade LC cataloging in publication records and they create new records for those items for which acceptable records for variant editions are available. The LTAs are responsible for the name and series authority work which is necessary for all items they catalog.

In addition to their general copy cataloging activities, each LTA has sole responsibility for specific areas. One manages the cataloging backlogs: another is responsible for all materials in the Slavic languages: another prepares original records for literary materials and handles all children's materials; one handles all state and international documents (U.S. government documents are not usually cataloged); one handles all Reference monographs; and another catalogs all titles in series which are classed together. In addition to their cataloging responsibilities, each LTA files or revises in the card catalog.

The LTAs are responsible for approximately 80% of all the titles cataloged by the library each year. In 1985/86, this averaged out to 300 titles per LTA per month, but individual production varies widely (from approximately 250 to 600 records per month), depending on the speed and responsibilities of each LTA.

WORKFLOW

In general, materials are sent to the Bibliographic Processing Unit from the Acquisitions Department containing order slips that indicate to which library the item is to be added and special handling instructions, if any. The items have been barcoded by the Acquisitions Department. The LTAs search each item thoroughly in the RLIN database and, if an acceptable cataloging record is found, all authority work is done and the item is cataloged at the terminal. Cards and an archival record are ordered at the time of cataloging. The cards are filed into our card catalogs; the records on the archival tapes are loaded into our local online system.

If an unacceptable cataloging record is found, it is printed out, all headings are checked in the online authority file and in our local name and series authority files, and the item is sent to the Monographic Catalogers for editing. If no cataloging record is found the item is sent to the backlog if it was published within the past two years. If it was published before then, the item is searched through OCLC for cataloging information and then sent to the Monographic Catalogers for original cataloging or editing of the OCLC record.

Certain materials follow a different workflow. Monographic state and international documents are sent directly to the LTA responsible for them. They are searched and cataloged if acceptable member records are found. If not, they are sent, along with any cataloging information found, to a Monographic Cataloger for editing or original cataloging. Slavic materials are sent directly to the Slavic copy cataloger who searches and catalogs the materials or sends them to a backlog if no acceptable records are found. Materials in French, German, Italian, Portuguese or Spanish which have been received through approval plans are placed directly in the backlog without searching. Gift materials are sent to the Bibliographic Processing Unit by the Collection Development Department. Unless immediate cataloging is required or acceptable cataloging records have been found for them by the Collection Development searchers, they are sent to the gifts backlog.

Materials other than monographs have a different workflow. Serials are searched by LTAs in the Acquisitions Department and sent directly to the Serials Catalogers with all cataloging information. Other formats are sent directly to the Monographic Cataloger responsible for that format, who searches and catalogs the item.

BACKLOGS

The Cataloging Department maintains three backlogs. The Slavic backlog consists solely of Slavic materials. It is managed by the Slavic LTA who routinely searches for acceptable cataloging records for backlogged materials when time permits. The gifts backlog consists of those gifts which did not require immediate cataloging when they arrived from the Collection Development Department.

The third backlog, called the numeric backlog, consists of all other items which have been searched and found to lack cataloging records and of foreign language materials which have been received through approval plans. Before materials are placed in the numeric backlog they are reviewed by the Head of the Cataloging Department. Items for Branch libraries and items on timely topics are set aside, held for two months, and then cataloged. The remaining materials are added to the backlog. Currently, materials remain in the backlog for about 9 months, when they are removed and added to the current workflow where they are searched and cataloged. They are never sent back to the backlog.

Items in the backlogs are arranged by barcode number. Access to these items is available through order slips and filed by title into the card catalog (which are stamped with the barcode number), or, for titles acquired after March 1986, through the local online acquisitions system. When items in the backlog are requested by library patrons, they are retrieved, cataloged and processed within 1 working day, and sent to the Circulation Department where the patron may charge them out.

The Cataloging Department has no other backlogs. Materials in formats other than monographs are cataloged as they are received in the Department.

CATALOGING PRIORITIES

The cataloging priorities for the Bibliographic Processing Unit are currently acquired materials, backlogged items and, at the very lowest, gifts. Current materials are handled as they come to the unit. LTAs spend at least 20% of their time working on materials from the numeric backlog. Since gift materials have the lowest priority they rarely receive attention and the gift backlog continues to grow.

QUALITY CONTROL

As cards are checked in, they are reviewed for errors. In addition, as records are added to the local online system they are checked for errors in tagging and coding. These errors are reported to the Head of Cataloging, who analyzes the errors and routes the records to the individual responsible for cataloging the record for correction. In this way, LTAs and catalogers who are making consistent errors can be identified and that area of cataloging can be reviewed. If a number of department members are having problems with certain types of materials or making common errors, a group session is held to review the principles and procedures involved. At present there is no systematic checking of each individual's cataloging. Once they are trained, catalogers and LTAs are assumed to be cataloging up to standard.

TRAINING

Training of LTAs is a one-on-one operation, generally done by the Head of Cataloging Department. The LTA is first introduced to cataloging procedures and then begins to catalog materials which require few decisions (usually LC records with no series or corporate headings) under supervision. Once the LTA is familiar with the procedures, materials of increasing complexity are added (materials containing series or corporate headings, multi-volume sets, materials for more than one branch, RLG member copy, variant editions, etc.). The next step is to allow the LTA to catalog without supervision, with the trainer reviewing all the work done. As the LTA develops cataloging skill the trainer may specify that only certain materials are to be reviewed. Once the trainer is convinced that the LTA understands the principles and procedures of copy cataloging, the LTA is released from revision and only those cataloging problems that are new to the LTA are brought to the attention of the trainer. The training period lasts from 1 to 3 months, depending upon the individual.

ONLINE LOCAL SYSTEM AND OTHER PLANS FOR THE FUTURE

The libraries have implemented a Geac system which currently includes Circulation, Acquisitions and an Online Catalog. The online catalog does not at present contain an authority control system, although one may become available early in 1987. Because of the lack of a cross reference system and a lack of public access terminals, the library is also maintaining its card catalog. As a result, little has changed in the copy cataloging workflow.

Once the authority control system is implemented and cards are no longer filed into the card catalog, the copy cataloging process will change. Authority work will be done after the cataloging records are loaded into the online system; the process for reviewing new cataloging records will change.

Another, more imminent, change to the copy cataloging process will be caused by the acquisition of a spine label printer. Currently spine labels are typed in the Physical Processing Unit from call numbers which are pencilled onto the verso of title pages at the time of cataloging. The printing of spine labels from data gathered by a PC at the time of cataloging will have to be worked into the copy cataloging procedure.

STATE UNIVERSITY OF NEW YORK AT ALBANY

BIBLIOGRAPHIC PROCESSING UNIT

OF THE

CATALOGING DEPARTMENT

The mission of the Cataloging Department of the University Libraries of the State University of New York at Albany is to make known to patrons the availability of materials in the University Libraries and facilitate access to their collections. Its purpose in to catalog and classify the materials acquired by the University Libraries in order to make them readily available to the users of the libraries through its public files and by virtue of the placement of the materials within the libraries' collections. The cataloging of library materials at SUNYA is a process by which the materials are described in a standardized fashion according to the _Anglo-American Cataloguing Rules_, 2nd edition (AACR2), a code of rules developed jointly by and for the American, Canadian and British library world. Catalog records include a physical description of the work, identification of the responsibility for its intellectual content and description of its subject content. Library materials are classified at SUNYA according to the subject content of the work by using, in most cases, the Library of Congress Classification System.

In order to achieve its purpose, the Department is responsible for the following operations:

1. precataloging searching of library materials for bibliographic information through the appropriate national databases, such as OCLC, RLIN and the _National Union Catalog_

    a. to ascertain whether catalog records which meet certain standards which have been set up by SUNYA librarians are available for the materials in hand;

    b. and, if no acceptable records are found, to identify and verify information, such as the established form of entry for access points (i.e. name, title and subject headings), which is needed in order to prepare a catalog record for the item.

2. adaptation of catalog records which have been prepared by other libraries for library materials which the University Libraries wish to add to their collections. This includes:

    a. acceptance of and, if deemed necessary, addition or deletion of access points such as name headings, title headings, including series, and subject headings;

    b. determination of the established form of heading, using as guides the authority files of the Library of Congress, AACR2 and the rule interpretations of AACR2 as published by the Library of Congress;

    c. acceptance and, if deemed necessary, revision of the bibliographic description of the item, using AACR2 as a guide;

    d. acceptance and, if deemed necessary, revision of the subject headings provided for the item, using the _Library of Congress Subject Headings_ as a guide;

    e. acceptance, revision or, if not provided, construction of classification numbers for the materials according to the Library of Congress

e. (cont.) classification system or other classification systems used by the libraries.

3. preparation of catalog records for those materials for which no catalog records prepared by other libraries have been found.

4. production of catalog records in hard copy and/or machine readable form for our local catalogs.

5. making recommendations concerning the physical processing of materials.

6. development and maintenance of name and series authority files which support the cataloging process.

7. participation in the maintenance of the card catalog and the online database of catalog to ensure that records, once cataloged, are accessible to patrons.

The Bibliographic Processing Unit participates to varying degrees in most of the operations listed above. It is primarily responsible for:

1. the precataloging searching of materials using the RLIN database;

2. the adaptation of catalog records prepared by the Library of Congress and by selected other libraries, as determined by the Catalogers;

3. the production of catalog records through RLIN or the libraries' print shop.

4. the searching of the RLIN database for information needed in establishing name and series entries and their related cross-references for the authority files.

5. participation in card catalog maintenance.

6. the maintenance of the backlog of uncataloged materials in the University Libraries.

RLIN WORKFLOW

Workflow will proceed as follows:

A. Current books (except for foreign approval books, which are sent directly to the backlog and the first search done after 9 months) are searched by the LTAs. If LC or acceptable RLG member copy (cataloging code = 9114, 9124, 9115, 9125, 9118, library ID from acceptable list) is found, LTAs will catalog the record. If the RLG member record lacks LC classification or LC subject headings, send the book and printout of the record to the catalogers' shelves. If no LC or acceptable RLG member copy is available, sent the book to the backlog.

B. After 9 months, books from the backlog are searched again. If LC or acceptable member copy is found, LTAs catalog. If other member copy is found, send to catalogers' shelves. If no copy is found, sent the book to the OCLC search truck and, when searched, to the catalogers' shelves.

C. Books will be routinely be removed from the earliest part of the backlog, searched and cataloged by LTAs or catalogers, as appropriate.

	LTA Catalogs	Backlog	Catalogers' Shelves
1. LC copy	x		
2. Acceptable RLG member copy at full standard	x		
3. RLG member copy or CLASS copy for literary works	x		
4. Acceptable member copy lacking LC classification or LC subject headings			x
5. Unacceptable member copy		x	
After 9 months in backlog			x
6. No copy, literary works	x		
7. No copy, not literary work			
After first search		x	
After second search at 9 months			x

CATALOGING A RECORD ON RLIN

1. Select an acceptable record. Identifiers for libraries whose records we will accept are posted at the RLIN terminals. Cataloging category 9110 is always the preferred. Otherwise use 911X. If no acceptable record is available, send the book to the backlog or to the catalogers' shelves if the imprint is over two years old. If only acquisitions records (record level "a") are available, print out and put book with printouts on the OCLC search truck.

2. Call up record. DERive from the chosen record. Check bibliographic description against the book in hand and make any corrections needed, including those in the fixed fields. Be sure to check the indicators in the variable fields. If you make any corrections to the record, add ≠d NA1U to the 040 field to indicate that we have modified the record. Check the online authority file for headings that conflict with the form of the heading in the book, corporate headings, or compound surnames. Print out authority records and check our name authority file to see if we have already established the heading. Make decisions about cross references according to the guidelines. Check series treatment against our series authority file and, if necessary, adjust it to match our treatment. Make any other corrections to the BIB screen that are necessary.

3. Check the call numbers of non-LC records against our shelflist (you can use the Geac online catalog). Fit the call number into the shelflist, adjusting the book number, if necessary. Add an "x" to the book number to indicate that the call number was not constructed by LC. Make a temporary shelflist card for each call number that has received a workmark and have the temporary shelflist card filed into the shelflist.

4. Go to the HOLdings screen. First remove the ENTer command from the command line so that you will not inadvertently enter the record before it is ready. Then fill in those holdings fields that are needed. At the least, the HOL screen will require: CIN
   CALL
   INS
   LOC
   LINS
   COP
   SHNT

5. Display the record in the LONg display to check for typos and in the PAR display to check the barcode.

6. Write call number, etc., on slips and book.

7. ENTer the record. Note the record ID on the Record Produced card.

9/86 jh

MEMORANDUM · THE UNIVERSITY AT ALBANY

TO: Sharon Bonk, Assistant Director for Technical Services

FROM: Judith Hudson, Head, Cataloging Department JH

DATE: May 15, 1986

SUBJECT: Annual report of the Cataloging Department for 1985/86

As in 1984/85, the Cataloging Department enjoyed full staffing for three months during the report year. One cataloger line was vacant from June until October; another cataloger was on sabbatical leave from September through February. One library searcher resigned in September. Her line was reclassified to an LTA position and filled in December. The LTA responsible for cataloging Cyrillic material was hired as monographic cataloger in October and her line remained vacant until January 1986. However, we close out the report year with a full staff.

During June and July the department was able to hire a full-time LTA with funds generated by study leaves. This LTA was trained for copy cataloging. From August until the middle of December a temporary LTA was hired through creative management of vacant lines. She corrected bibliographic records loaded from retrospective OCLC archival tapes so that they could transfer successfully into the master MRMS database.

Early in the summer a library intern worked on the collection of library school materials sent to us from Geneseo. Most of the collection has been cataloged.

In April and May of 1986 a library school student volunteered to work 10 hours or more a week in the department in order to learn our cataloging procedures. She has edited and entered RLIN records from printouts, searched books from the numeric backlog and searched serials and periodicals titles for acceptable cataloging copy.

The major concern throughout the year was the adoption of RLIN as our bibliographic utility. June was spent planning for RLIN, July was spent in training and we turned off the departmental OCLC terminals on July 31. The first item was cataloged on RLIN on July 24, 1985.

The transition to RLIN went smoothly. The training sessions were excellent, with interest and enthusiasm demonstrated by the Cataloging Department. Cataloging production dropped for the first few months on RLIN as the department learned the ins and outs of the new system, but, by early 1986, efficient procedures had been developed. Unfortunately, poor system performance during the first quarter of 1986 masks the efficient procedures. RLIN was down for over 40 hours each month during January, February and March. In April, down time decreased to 22 hours. RLG has made changes to the system during May which, hopefully, will improve the stability and response time of the system.

Cataloging production decreased during 1985/86 as a result of the transition to RLIN, staff shortages and the instability of RLIN during early 1986. Original input has increased dramatically with the move to RLIN. This figure (see appendix) may be somewhat misleading, because it includes records found in OCLC, edited by SUNYA catalogers and input into RLIN as well as records given original cataloging by SUNYA catalogers. We have begun to produce transliterated Chinese records through RLIN, using both LC and member input cataloging.

One major change in cataloging procedures was adopted with the switch to RLIN. Heretofore, LTAs limited their cataloging largely to records with LC copy. With RLIN, a list of acceptable member libraries was developed and LTAs now handle records from those libraries as well. When we adopted this policy the member libraries had not been ranked in any priority. This led to confusion when a title had been cataloged by more than one acceptable member library because no criteria had been established which LTAs could use to select the record from which to derive from among a number of acceptable libraries. The monographic catalogers decided to conduct an evaluation project in order to determine a priority order for acceptable libraries. Cataloging records for over 400 titles were scrutinized. Records from each acceptable member library were edited and the changes deemed necessary were tallied. The scores of records from each library were averaged together and a library average was computed. The acceptalbe libraries were listed in priority order according to the averages and LTAs are now using this list when selecting the record from which to derive.

The department has been involved in a number of other projects during the year. Cataloging of materials from the Paetel and German Immigrant Collections and other titles from Special Collections resumed with the hiring of a monographic cataloger in October 1985. The large German series - Abhandlungen der Geistes- und Sozialwissenschaftlichten Klasse - which was acquired, classed together and sent uncataloged to the shelves in 1982 has been cataloged. Additional work has been done with the remaining Kosover Collection materials and, by fall, those materials which have been reviewed by Judaic Studies faculty will be processed.

During the summer, machine readable records from OCLC archival tapes from 1973-84 were loaded into Geac. Approximately 22,000 of the records did not load into the master file. During the fall a temporary LTA worked on the records in the edit file. Currently we have approximately 21,000 records in the edit file and no one is scheduled to work on these records.

In the fall, SUNYA received funding from CDLC for a small retrospective conversion project. The project was subsequently renewed for 1986. Using OCLC's Microcon service, we have received MARC records for 37,345 titles, listings of multiple hits for 5,341 titles and no hits for 5,860 titles. The MARC records are currently being loaded into Geac at a rate of 1,000 titles per week to allow for detection and correction of errors (n.b. error rate is about 5%). The retrospective conversion was staffed by students doing data entry, 2 LTAs supervising and problem-solving for the students and was planned and supervised by a monographic cataloger.

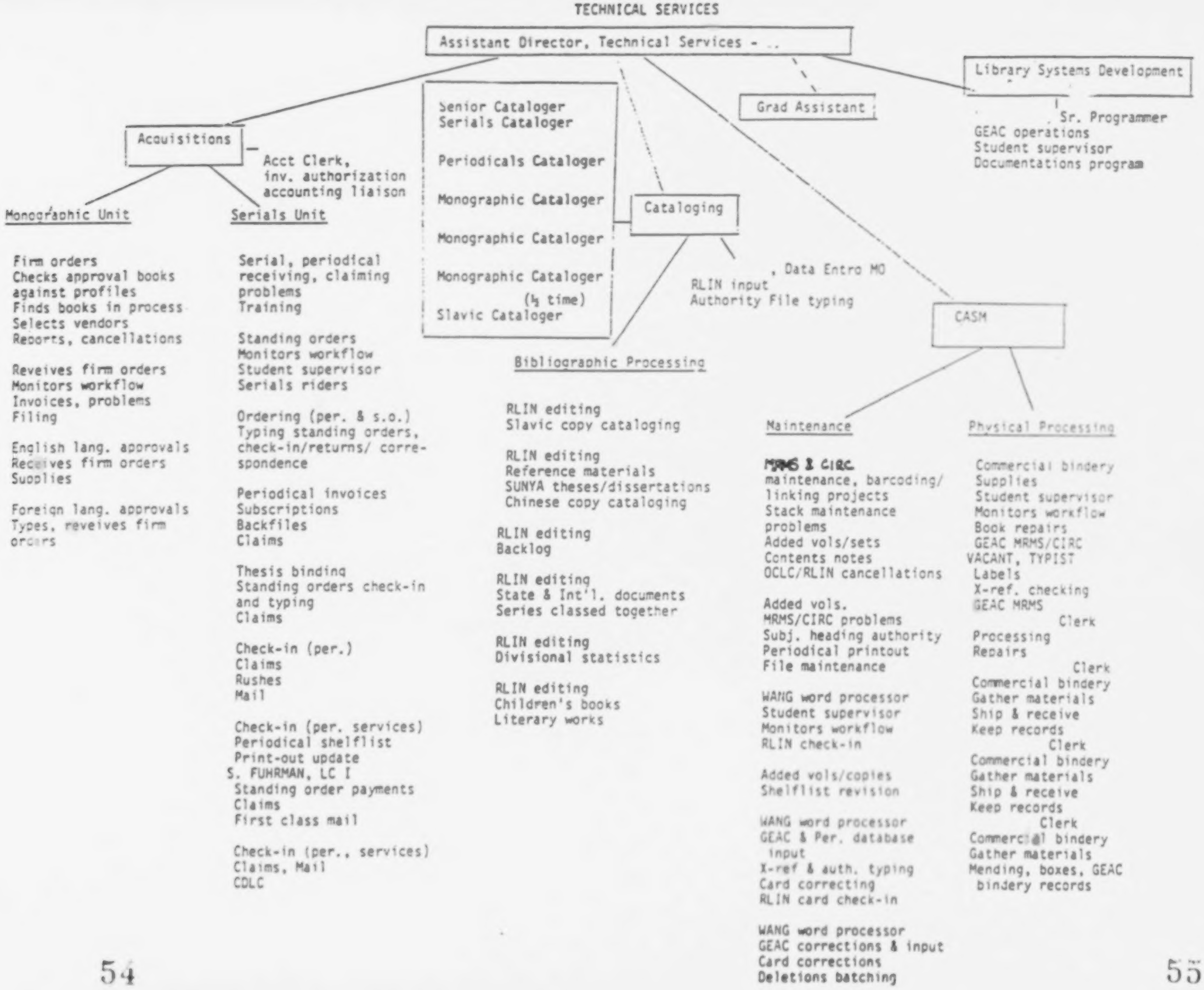
The cataloging backlogs, as a whole, were relatively stable. The numeric backlog has decreased significantly, but the Cyrillic backlog and gifts backlog have increased. The procedures for handling the numeric backlog were changed with the adoption of RLIN. Previously, materials placed in the backlog were searched after 6 months and those titles for which LC cataloging was found were removed and processed. The remaining titles stayed in the backlog for up to 4 years. The current procedure is to search all materials that have been placed in the backlog since January 1985 and catalog them. Currently there is a 9 month gap between the first and second search. Books entered into the backlog during 1983 and 1984 are removed, searched and cataloged as time permits. At present, a volunteer is spending 3-4 hours a week searching these materials. In the future, students will be trained to do this type of searching.

The Cyrillic backlog increased during 1985/86, but with a fully trained LTA responsible for copy cataloging of Cyrillic materials and with the identification of acceptable libraries for these materials, production should increase during the coming year.

The gift backlog grew dramatically during 1985/86 as bibliographers continued to review the large stored collection of gifts. One of our projects for the 1986/87 year will be to work with Collection Development to deal with the problem of processing gifts.

Brieflisting, a project which was initiated in 1985, has been discontinued since RLIN was adopted. During the coming year the department must decide whether or not to continue with brieflisting.

To summarize, 1985/86 was a time of great change for the department. The coming year will be a year of consolidation and stabilization as we continue to refine our cataloging procedures with RLIN in mind.



TECHNICAL SERVICES

Assistant Director, Technical Services - ..

Acquisitions

Acct Clerk,
inv. authorization
accounting liaison

Monographic Unit

Firm orders
Checks approval books
against profiles
Finds books in process
Selects vendors
Reports, cancellations

Reveives firm orders
Monitors workflow
Invoices, problems
Filing

English lang. approvals
Receives firm orders
Supplies

Foreign lang. approvals
Types, reveives firm
orders

Serials Unit

Serial, periodical
receiving, claiming
problems
Training

Standing orders
Monitors workflow
Student supervisor
Serials riders

Ordering (per. & s.o.)
Typing standing orders,
check-in/returns/ correspondence

Periodical invoices
Subscriptions
Backfiles
Claims

Thesis binding
Standing orders check-in
and typing
Claims

Check-in (per.)
Claims
Rushes
Mail

Check-in (per. services)
Periodical shelflist
Print-out update
S. FUHRMAN, LC I
Standing order payments
Claims
First class mail

Check-in (per., services)
Claims, Mail
CDLC

Senior Cataloger
Serials Cataloger

Periodicals Cataloger

Monographic Cataloger

Monographic Cataloger

Monographic Cataloger
(½ time)
Slavic Cataloger

Cataloging

, Data Entro MO
RLIN input
Authority File typing

Bibliographic Processing

RLIN editing
Slavic copy cataloging

RLIN editing
Reference materials
SUNYA theses/dissertations
Chinese copy cataloging

RLIN editing
Backlog

RLIN editing
State & Int'l. documents
Series classed together

RLIN editing
Divisional statistics

RLIN editing
Children's books
Literary works

Grad Assistant

Library Systems Development

, Sr. Programmer
GEAC operations
Student supervisor
Documentations program

CASM

Maintenance

MRMS & CIRC
maintenance, barcoding/
linking projects
Stack maintenance
problems
Added vols/sets
Contents notes
OCLC/RLIN cancellations

Added vols.
MRMS/CIRC problems
Subj. heading authority
Periodical printout
File maintenance

WANG word processor
Student supervisor
Monitors workflow
RLIN check-in

Added vols/copies
Shelflist revision

WANG word processor
GEAC & Per. database
input
X-ref & auth. typing
Card correcting
RLIN card check-in

WANG word processor
GEAC corrections & input
Card corrections
Deletions batching

Physical Processing

Commercial bindery
Supplies
Student supervisor
Monitors workflow
Book repairs
GEAC MRMS/CIRC
VACANT, TYPIST
Labels
X-ref. checking
GEAC MRMS
Clerk
Processing
Repairs
Clerk
Commercial bindery
Gather materials
Ship & receive
Keep records
Clerk
Commercial bindery
Gather materials
Ship & receive
Keep records
Clerk
Commercial bindery
Gather materials
Mending, boxes, GEAC
bindery records

STATE UNIVERSITY OF NEW YORK AT ALBANY

UNIVERSITY AT BUFFALO
STATE UNIVERSITY OF NEW YORK

Central Technical Services
University Libraries
Lockwood Library Building
Buffalo, New York 14260
(716) 636-2510

TO: ARL SPEC Center

FROM: Judith Hopkins
Technical Services Research and Analysis Officer
State University of New York at Buffalo

DATE: 16 September 1986

SUBJECT: Copy Cataloging Workflow at SUNY Buffalo
In Response to SPEC Survey

INTRODUCTION

Our response applies only to the copy cataloging done in Central Technical Services (CTS) which does the cataloging for the General Libraries. It does not apply to the Health Sciences Library, the Law Library, the Music Library, or to the Poetry Collection, all of which do their own cataloging.

The cataloging units in CTS are not organized in ways that are easily described in terms of your questionnaire.

First, cataloging is divided between the Cataloging Department, which is responsible for monographs, and the Serials Cataloging Section of the Serials Department.

Second, we have no formal Copy Cataloging Unit in the Cataloging Department. We used to, but in 1984/1985 the Original Cataloging and the Systems Cataloging Sections were combined to form the Catalog Production Section which is composed of four professional librarians and four and a half members of the classified (clerical) staff. We have no paraprofessionals, just clerks who are part of the classified civil service of New York State. Four of the members of the classified staff do the copy cataloging.

The Serials Cataloging Section consists of three professionals and one classified staff member. All of the serials cataloging, both original and copy, is performed by the three professional catalogers.

3. The answers to Question 3 show the total staff of the Catalog Production Section and the Serials Cataloging Section showing both those who do original cataloging and those who do copy cataloging as well as those who do neither (e.g., the Library Clerk I in the Serials Cataloging Section).

4. In the Catalog Production Section the professional catalogers are responsible for work done with member contributed cataloging records that either lack an LC call number or that emanate from libraries where cataloging is often characterized by local idiosyncracies or a practice of not adhering fully to AACR2 or which consists largely of minimal level cataloging records. All of the above is considered as original cataloging. All other work with member contributed cataloging records is performed by the Library Clerks.

The Serials Cataloging Section defines original cataloging as any cataloging for which no RLIN member contributed cataloging records are available.

5. See answer to 4 above.

6. Professionals and clericals in the Catalog Production Section; Professionals only in the Serials Cataloging Section.

7. We do not break our cataloging statistics down into the categories of Original and Copy Cataloging so none of our statistical reports would be meaningful. We keep statistics on the types of materials cataloged and by individual cataloger. Keeping in mind that the professional catalogers work with some member contributed records, the best approximation available of copy cataloging still seems to be the sum of the output of the four classified staff members in the Catalog Production Section who do copy cataloging. In fiscal year 1984/1985, of the 26,600 monographic titles cataloged, the classified staff did 19,500 or 73.3% of the total.

The Serials Catalogers did 1,200 titles in 1984/1985 of which approximately 95% (1140) were considered copy cataloging. They recataloged an additional 350 titles that were related to the titles cataloged (e.g., earlier titles, latest entry cataloging records separated into successive entry cataloging records).

8. In the 1960s the Libraries developed a backlog of 100,000 plus titles; by 1986 this total had been reduced to about 4,000 titles of which at least half have already been entered as brief in-process records in the RLIN database.

9. The minimum educational requirement for taking the state Civil Service examination for a Library Clerk I is a high school diploma. Some of the library clerks have just this while others have some post high school education.

10 and 11. There is no formal training or evaluation program for the professional catalogers in the Serials Cataloging Section or the Catalog Production Section.

12. The Acquisitions Department is responsible for Pre-catalog searching. It forwards to the Cataloging Department items for which RLIN copy is available (exact or variant edition cataloging records, including Minimal Level Cataloging records but excluding Acquisition records), separated into two groups:

A. This category consists of all monographs for which LC AACR2 copy (including CIP) is available online.

B. This category conists of monographs for which there is member contributed AACR2 copy, LC and member contributed pre-AACR2 copy, Minimal Level Cataloging records, and variant edition, publisher, translation, etc. records.

The monographs in category A that are production-ready (are not in series, and do not fall into LC classes P or N) are immediately placed on the Production Shelves where they will be cataloged by a Library Clerk I. A classified staff member of the Catalog Production Section searches those in series in the New Series Authority File (established in 1981 concurrently with the adoption of AACR2); if a series authority card is found the authority card is photocopied and the photocopy is placed in the book. If the monograph does not fall into classes P or N it goes to the Production Shelves. A professional cataloger shelflists all items in classes P and N and then places the monographs on the Production Shelves.

If no series authority card is found in the New Series Authority File, the clerk then searches in the Old Series Authority File. A photocopy of any record found there is placed in the book. A clerk then searches in the LC NAF online in RLIN to find an AACR2 series authority record plus name authority records for any corporate bodies associated with the series. If no series copy is found in the LCNAF, the clerk does a search of the RLIN bibliographic files to find other uses of the series. The monograph and the printouts of any authority and/or bibliographic records found are then forwarded to the Serials Cataloging Section to have the series established.

The monographs in category B that are production-ready (are not in series, and do not fall into LC classes P or N) are immediately placed on the Production Shelves where they will be cataloged by a Library Clerk II. (The procedure for series searching and shelflisting of monographs in classes P and N is the same as it is for monographs in category A).

If the Library Clerk II finds an RLIN record created by one of the libraries not noted for idiosyncratic or non-AACR2 cataloging (libraries on our "white list"), the clerk accepts it, including the call number. If the only records found lack LC call numbers or were contributed by libraries not on our white list, the clerk makes a printout and gives it (along with the book) to a professional cataloger for upgrading.

If the Library Clerk II finds an RLIN record for a variant edition or publisher that is based on LC AACR2 copy, the clerk creates a new record based on the existing one. It is not revised by a professional cataloger unless the clerk has questions about it. All other RLIN records for variant editions or publishers, translations, etc. are forwarded to a professional cataloger.

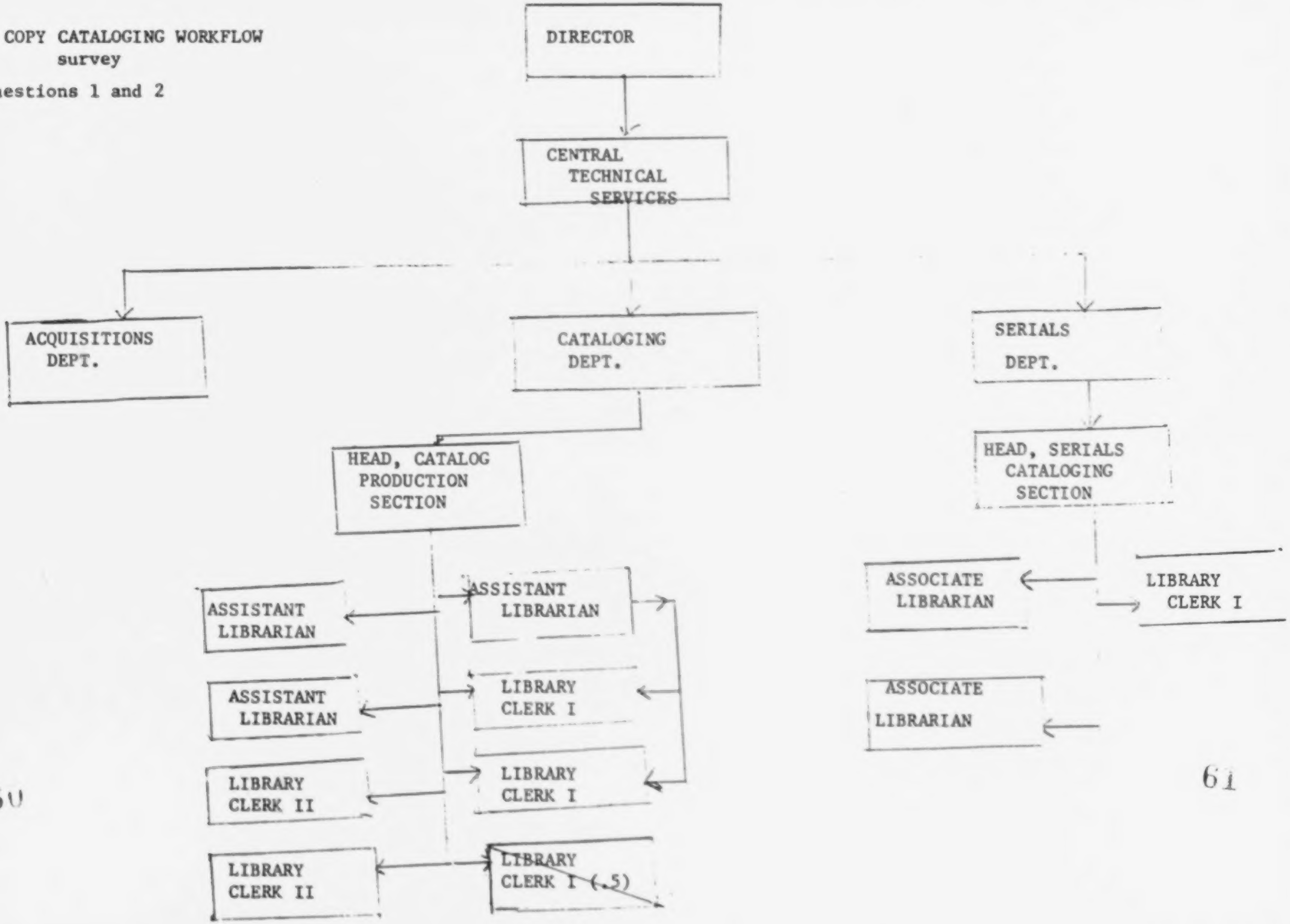
We accept the authority work done by libraries on our white list; for all other libraries we check all headings in the LC NAF online.

The Serials Records Section in the Serials Department forwards new serial titles to the Serials Cataloging Section along with RLIN printouts. The Head of the Serials Cataloging Section distributes the items among the serials catalogers (including herself). The cataloger to which an item is assigned modifies the printout as necessary, and searches RLIN for any records for related titles that we own whose cataloging will have to be upgraded to AACR2. The cataloger makes simple changes herself online; otherwise she prepares a worksheet for the Library Clerk I in the Section to input or to use in modifying an existing record.

STATE UNIVERSITY OF NEW YORK AT BUFFALO (Partial organization chart) 9/86

COPY CATALOGING WORKFLOW
survey

Questions 1 and 2


DIRECTOR
CENTRAL TECHNICAL SERVICES
ACQUISITIONS DEPT.
CATALOGING DEPT.
SERIALS DEPT.
HEAD, CATALOG PRODUCTION SECTION
HEAD, SERIALS CATALOGING SECTION
ASSISTANT LIBRARIAN
ASSISTANT LIBRARIAN
ASSISTANT LIBRARIAN
LIBRARY CLERK I
LIBRARY CLERK I
LIBRARY CLERK II
LIBRARY CLERK II
LIBRARY CLERK I (.5)
ASSOCIATE LIBRARIAN
LIBRARY CLERK I
ASSOCIATE LIBRARIAN

Copy Cataloging at The University of Arizona

6/86

R. Cecilia Knight
Acting Principal Cataloger

Victoria A. Mills
Head Catalog Librarian

University of Arizona Library, Catalog Department
Description of Copy Cataloging Units

There are two copy cataloging units or sections in the Catalog Department and they handle the copy cataloging of monographs and serial analytics. The original and copy cataloging of serials in done in the Serials Department of our library.

The 050 Section (Library of Congress copy cataloging):
The catalogers in the 050 Copy Cataloging Section are responsible for cataloging Library of Congress (050) copy, including CIP, as well as some member-contributed (090) literature copy. This section catalogs ca. 55% of all the titles done in the department and they catalog books in all languages that use a roman alphabet and in all subject areas. One of the copy catalogers, because of her special language expertise, is also able to catalog Arabic and Persian 050 items. This section has the additional responsibilities of: MARC tagging of NUC records for input into OCLC; descriptive cataloging of University of Arizona theses; reclassification and recataloging of books from Dewey to LC; processing of added copies, volumes, withdrawals and reinstatements; and making online corrections on OCLC.

The section is supervised by a Library Assistant IV and includes seven Library Assistant Is and one Library Clerk II.

The 090 Section (Member-contributed copy cataloging):
The catalogers in 090 Section are responsible for cataloging items with member-contributed (090) copy and for audio-visual items and serial analytics, regardless of source of copy. This section catalogs ca. 35% of the titles done in the department. They catalog books in all languages that use a roman alphabet, plus one member of the section also catalogs Russian books. They catalog books in all subject areas and for all branches of our system. One of the most time consuming parts of member-input cataloging is the verification and establishment of series according to AACR2 and the updating of local series authority records. Each member of this section is also responsible for weekly revising of filing and cataloging in the public card catalog.

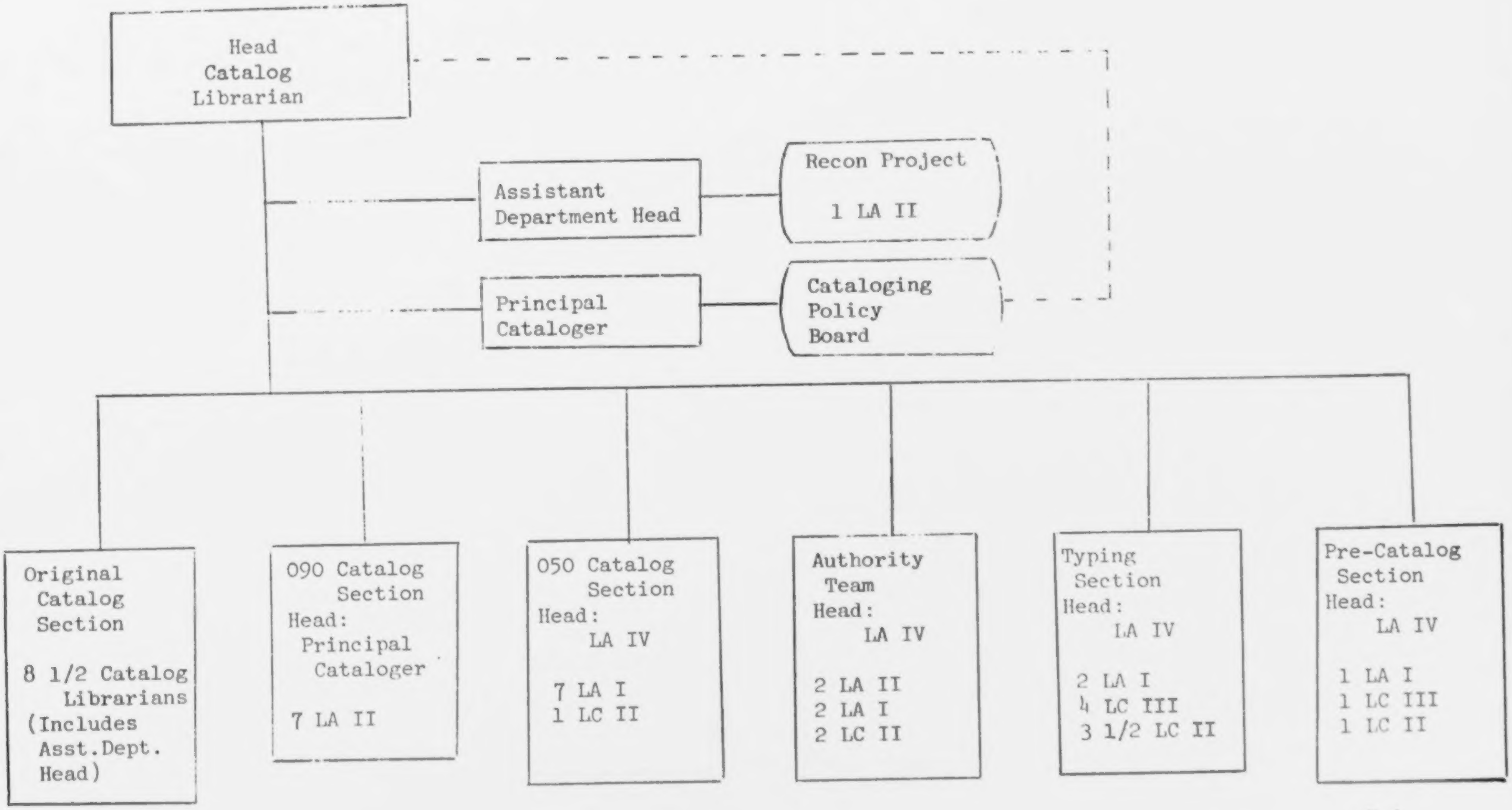
The section is supervised by the Principal Cataloger and it is made up of seven Library Assistant IIs.

We have recently begun (July 1986) what we call "Fast Cataloging." For those books with LC AACR2 copy that have neither uniform or series titles, we are accepting the copy with no more checking than is required to make sure the copy matches the piece. We are producing on these records with no editing (other than the 049 field) and doing all needed authority work after the fact. This fast cataloging is being done by one of the regular members of the 050 Section and by two LCIIs from the Bibliographic Support Section.

The editing of copy cataloging printouts is done by the copy catalogers themselves and they do the online editing and production of the more difficult or complex items as well. However, a great majority of the 050 items and many of the easier 090 items are passed on to the Bibliographic Support Section for online editing and production.

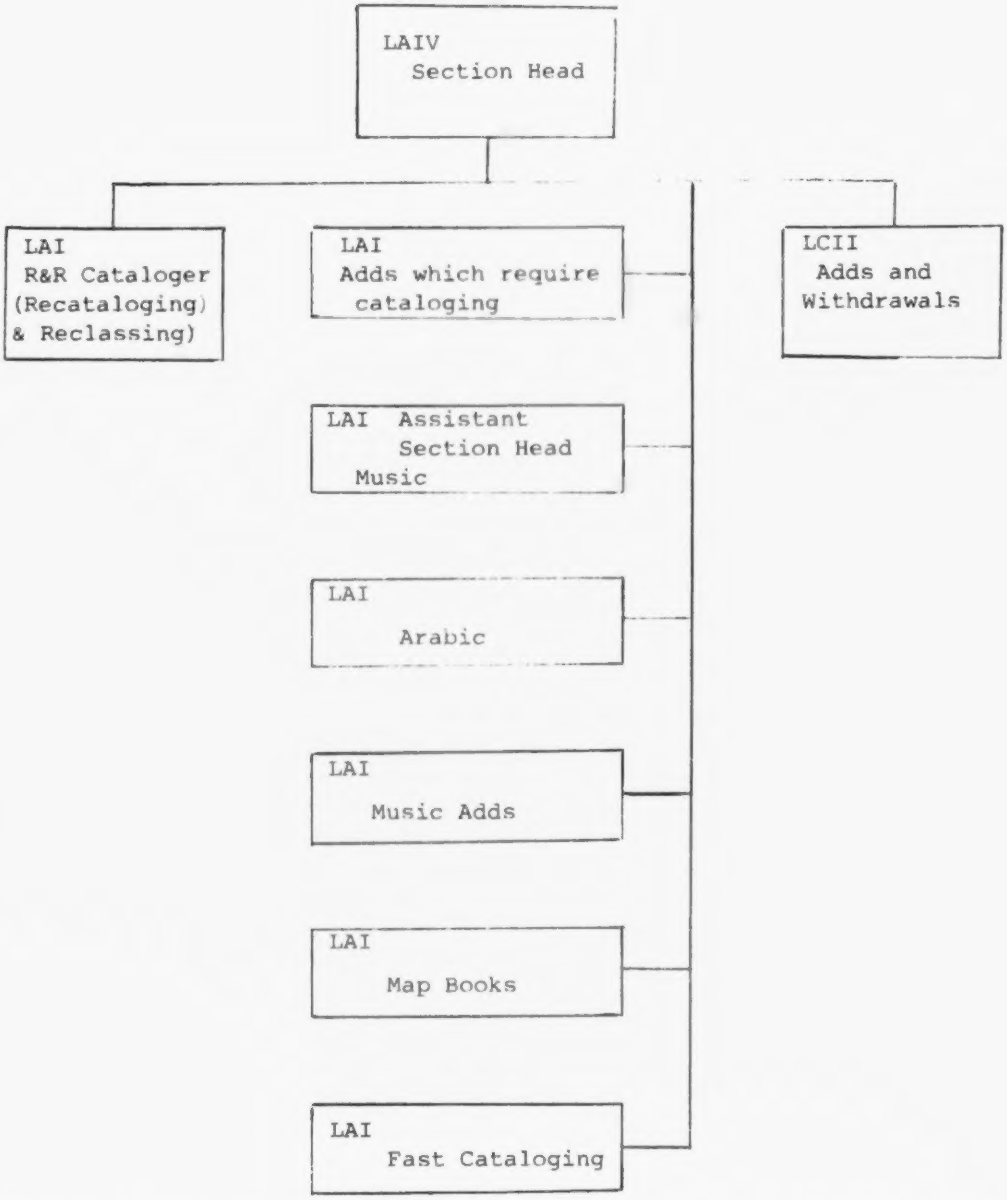
CATALOG DEPARTMENT

University of Arizona


Head Catalog Librarian
Assistant Department Head
Recon Project
1 LA II
Principal Cataloger
Cataloging Policy Board
Original Catalog Section
8 1/2 Catalog Librarians (Includes Asst.Dept. Head)
090 Catalog Section
Head: Principal Cataloger
7 LA II
050 Catalog Section
Head: LA IV
7 LA I
1 LC II
Authority Team
Head: LA IV
2 LA II
2 LA I
2 LC II
Typing Section
Head: LA IV
2 LA I
4 LC III
3 1/2 LC II
Pre-Catalog Section
Head: LA IV
1 LA I
1 LC III
1 LC II

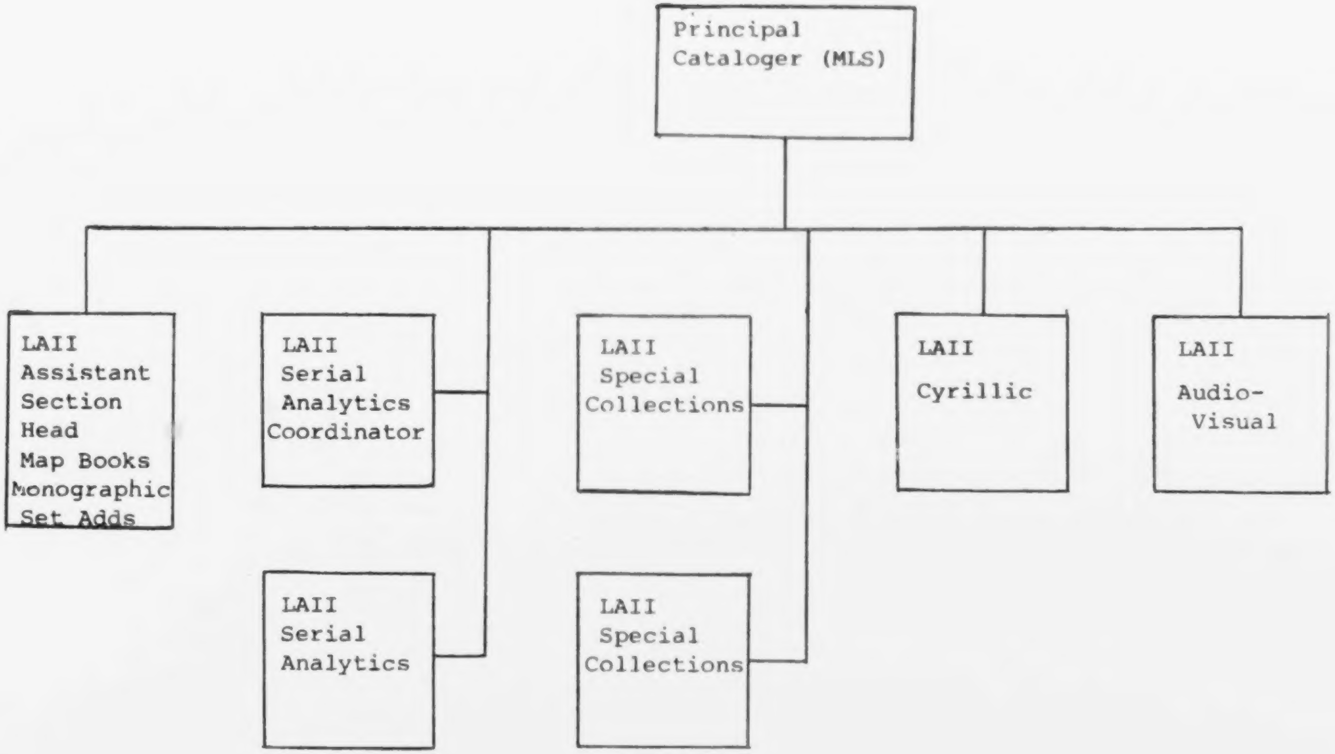
7 May 86

050 Section


LAIV
Section Head
LAI
R&R Cataloger
(Recataloging)
& Reclassing)
LAI
Adds which require
cataloging
LCII
Adds and
Withdrawals
LAI Assistant
Section Head
Music
LAI
Arabic
LAI
Music Adds
LAI
Map Books
LAI
Fast Cataloging

The six Library of Congress Copy Catalogers do regular LC copy cataloging (AACR2 & earlier rules). They also do "easy" member records (defined as literature with verified call numbers and no series). They spend 60-80% of their time on regular 050 books. They also each have a special assignment as noted on the chart above. Each cataloger also is responsible for the descriptive cataloging of University of Arizona theses and dissertations.

090 Section


Principal
Cataloger (MLS)
LAII
Assistant
Section
Head
Map Books
Monographic
Set Adds
LAII
Serial
Analytics
Coordinator
LAII
Serial
Analytics
LAII
Special
Collections
LAII
Special
Collections
LAII
Cyrillic
LAII
Audio-
Visual

All seven 090 copy catalogers do regular member copy cataloging 50-70% of their time. Each also has a special assignment, which is indicated on the chart above. The members of this section also have responsibility for revising the filing and bouncing headings with cataloging problems from the public card catalog.

Catalog Department Workflow: an excerpt showing generalized Copy Cataloging tasks and interactions. 6/86

I. Precatalog Section recieves items from the Acquisitions Dept.

1. Search items on OCLC

    a. No catalog copy on-line

        1. no special treatment (i.e.; holds, requests, rush, reference flags) goes into the frontlog to wait 9-12 monthes for 2nd OCLC search
        2. special treatment, or, DLC sim ed (similar edition catalog copy) is distributed to the Original Catalogers

    b. 090 ƀ catalog copy (member contributed copy without an LC classification number)

        1. no special treatment, no sim ed with LC class number, goes into the frontlog to wait 9-12 monthes for 2nd OCLC search
        2. special treatment, or, sim ed with LC class number, is distributed to the 090 Section

    c. 090 catalog copy (member contributed copy with an LC classification number)

        1. Is distributed to the 090 section

    d. UKM catalog copy (copy contributed by UK Marc)

        1. Is distributed to the 090 section

    e. 050 catalog copy and CIP (Library of Congress catalog copy)

        1. With numeration in call number or Z call number, and no alternative class number, are passed on to the Original Catalogers to have a call number assigned, and then passed on to the 050 section
        2. All others are distributed to the 050 section

*Special exception: Added copies and added volumes are given to the adds person in the 050 Section directly by the Acquisitions Department if identified by Acquisitions.

II. Copy Catalogers

1. Edit records *

    a. Make sure the catalog record matches the piece

    b. Check and add access points

        1. Subject headings; should be on record unless the piece is fiction
        2. Variant titles
        3. Series Authority work
            a. Send to Series Truck--Original Catalogers--revise newly established or AACR2 updated

        series authority work of copy catalogers
    4. Authority work (both name headings and uniform titles)
        a. Send to Authority Section if not set up in our library

*Editing of records, particularly the addition , or correction, of access points, is done to a much greater degree with member contributed copy than with LC copy.

c. Mark books, fill out labelling strips, daily production records, and temporary shelflists
    1. File temporary shelflist
    2. Place labelling strip on title page

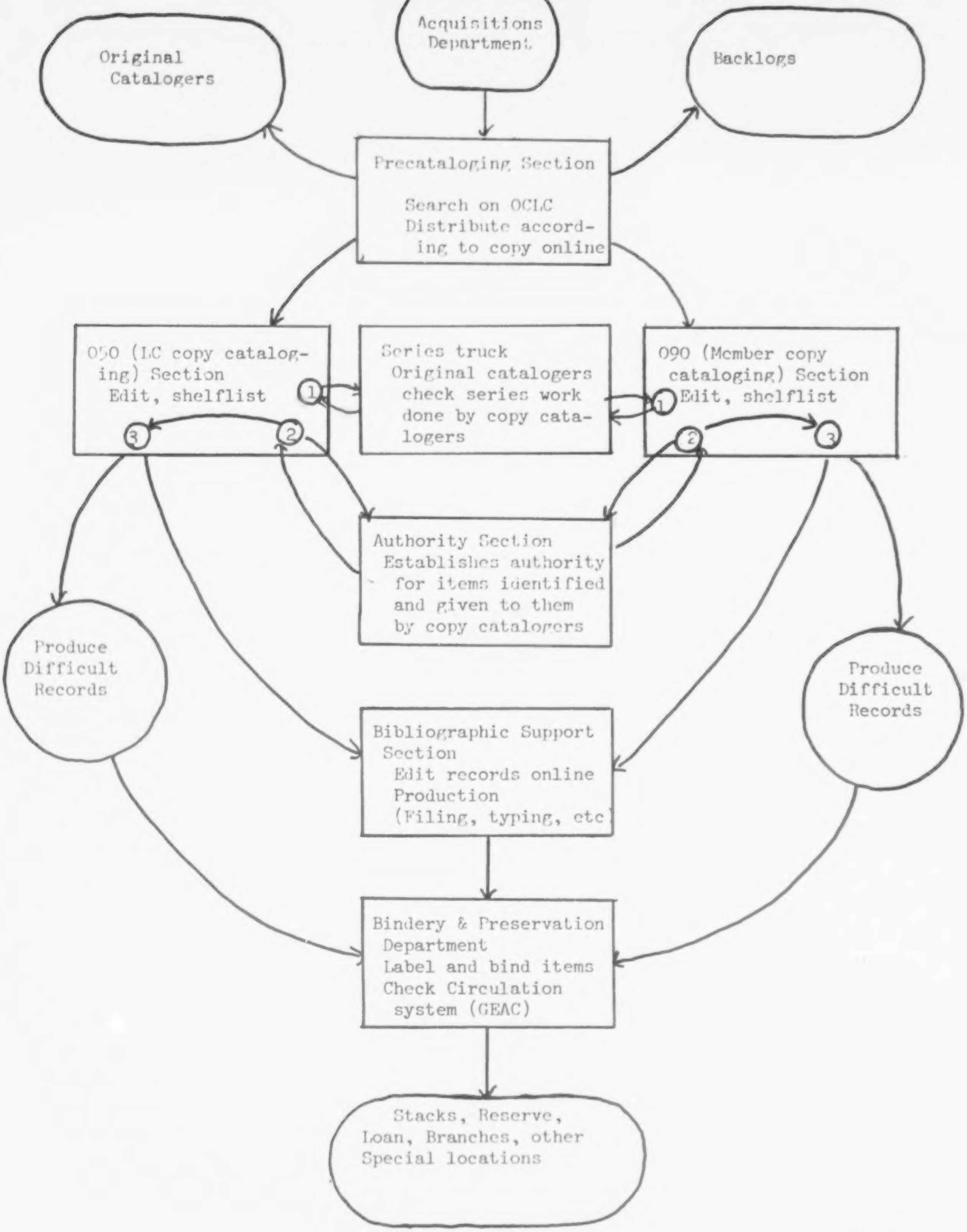
d1. Send to the Bibliographic Support Section for on-line editing and card production (those books that need little editing)

or

d2. Edit on-line and produce cards for records which are difficult or complicated

e. Place items on the truck (hardcover, paperback, or Special Collections) to go to the Bindery and Preservation Department.

UNIVERSITY OF ARIZONA


Acquisitions Department
Original Catalogers
Backlogs
Precataloging Section
Search on OCLC
Distribute according to copy online
050 (LC copy cataloging) Section
Edit, shelflist
Series truck
Original catalogers check series work done by copy catalogers
090 (Member copy cataloging) Section
Edit, shelflist
1
2
3
1
2
3
Authority Section
Establishes authority for items identified and given to them by copy catalogers
Produce Difficult Records
Produce Difficult Records
Bibliographic Support Section
Edit records online
Production (Filing, typing, etc)
Bindery & Preservation Department
Label and bind items
Check Circulation system (GEAC)
Stacks, Reserve, Loan, Branches, other Special locations

Sept 86

Cataloging Priorities

050 Cataloging Section:

1. Rush materials - all those materials identified with pink rush flags, these should be cataloged in one working day

2. Priority materials - those materials that have a patron request form or are for a reference area, these should be cataloged in 1-5 working days

3. University of Arizona theses - these come into the department in batches and are done on a timely basis as they are received

4. Regular 050 books - this included a mixture of 050's and CIPs

5. 090 literature - these are done on an as time will allow basis, if the 050 catalogers get too many shelves of 050 and CIP books, these 090 books will be redirected to the 090 section

090 Cataloging Section:

1. Rush items - identified with pink flag, done within one working day if possible

2. Priority items - request items for patrons and items for reference areas, done in 1-5 working days

3. Yellow flag priority items - items identified as needed for collection (not to get put in backlog), these are handled in 1-2 weeks

4. Regular 090 books

5. UK MARC books - because these require extra authority verification and subject heading checking and augmentation, each copy cataloger does 10 per week

*Each 090 copy cataloger has responsibility for revising in the public card catalog. This responsibility is not a cataloging priority, but it is an important job priority and it must be done each week; so each cataloger must work this duty into their work schedule.

University of Arizona Library, Catalog Department 6/86
Quality Control Measures

We have no formal quality review process and we have no established quality standards. Nonetheless, we are concerned with quality and we have many checks and balances to try to insure quality.

Before cataloging:

All catalogers add their initials to the records that they catalog. These are added as the final note on the records and if two individuals are involved, the cataloger and the inputter, both sets of initials. The addition of initials makes it easily apparent who did what if a problem should arise; but this is not the only reason we began adding initials several years ago. We felt people would have more pride in, and take more care with, work that they signed and it means that the work that we do in our department is not done anonymously.

The series authority work of the copy catalogers is revised by the original catalogers. This is most important when new series are being established according to AACR2 without any guidance from the LC authority file. This revision helps us assure quality and consistency in our series work.

We have regular weekly meetings with copy catalogers and use these for ongoing training. Problems and questions that copy catalogers may be having are brought up and discussed and from these discussions, training documents are developed, when needed. Original training is done on a one-to-one basis with the supervisor or other designated training, but we feel that ongoing, continuous training is vitally important to keeping well-informed catalogers who produce quality work.

After cataloging:

All cataloged items go through the Bindery/Preservation Department for labeling and in this department they check to make sure every item is on GEAC, our circulation system which is directly linked to OCLC. This check of GEAC finds any labeling and some kinds of call number problems. These kinds of problems are returned to the catalogers for correction.

The cards are reviewed when they are received for call number and holdings errors and sometimes other very blatant cataloging errors are discovered at this time. These kinds of errors are returned to the catalogers, via their supervisor, to be corrected.

The professional catalogers and the 090 copy catalogers revise in the author/title catalog. They revise primarily to check headings as they go into the catalog for any descrepancies or problems. Many kinds of cataloging problems are discovered in this revising process. The problems are bounced back to our Authority Section and they pass on the ones that catalogers are responsible for, via the cataloging supervisors.

When preparing the annual evaluations of copy catalogers, supervisors ask all original catalogers for their opinions on the quality of the work of each copy cataloger. The original and copy catalogers work closely on series work and on cataloging problems that are subject related, so each of the original catalogers does have a basis for judging the quality and knowledge of cataloging procedures of the copy catalogers. This input along with the supervisors own evaluation based on their close work with each copy cataloger over the year and the errors that they have received form the basis for the "quality" rating on the evaluation.

We would like to establish periodic quality reviews--having supervisors take 20-25 items from each cataloger and checking them carefully for quality of editing. This needs to be done before cataloging while the printout and book are still together. We have done some sampling of this technique for quality review, but have not yet made it a regular part of our procedures.

University of Arizona Library, Catalog Department
Backlogs

We have several layers of backlogs here:

1. Frozen backlog - contains mostly items received 5-10 years ago. These are older items and have been searched and researched several times, with most of the "treasures" being culled along the way. Contains mostly items requiring original cataloging and mostly items in languages other than English. This backlog is not stored in the catalog department, but it is stored in the library. We are currently in the process of weeding this backlog, there are approximately 15,500 volumes in it.

2. 007 Backlog - gets its name from the fact that these books are being entered into our circulation system with author/title records and a backlog location number beginning with 007. These books are those purchased within the last 5 years that we have not had time to catalog. Although they have all been searched on OCLC at least twice, many of these items do have member-contributed copy. This backlog is also predominantly foreign language, but it does include more English language materials than the frozen backlog. This backlog is located in the Catalog Department and it has approximately 14,800 volumes.

3. Frontlog - these are books that after a 1st search on OCLC have no matching copy or copy without a usuable LC call number. These books are given a author/title record on GEAC and a location control number beginning with CAT and including month and year of receipt and accession number. These books are researched on OCLC 9-12 months after their first search. Of the 48,000 new books searched last year, 14,000 were put into this "2nd search" frontlog.

4. Microform backlog - uncataloged microfiche and microfilm are stored in appropriate cabinets and are entered into GEAC with CAT numbers that indicate either film or fiche. We have approximately 1100 fiche titles and 320 film titles in this backlog.

5. Other backlogs - there are other backlogs--audio-visual, Near-East and Asian language, Special Collections. For these other backlogs, the Catalog Department either shares responsibility or is not responsible at all for their housing or maintenance.

Our cataloging priorities as they relate to the backlogs are: 1.) current receipts, 2.) 2nd search books (frontlog), and 3.) when time permits, books from the 007 backlog (we were able to decrease this backlog by several thousand titles last year). We will also catalog an item from any backlog, if it is requested by a patron. The items in the frozen backlog are such a low priority that we would only catalog items out of it that were requests.

The two copy cataloging sections are able to keep current with the newly received 050 and 090 books, so these books are not backlogged. They also receive the books that turn into 050 or 090 copy after the second search and they struggle to keep up with these too. It is this "frontlog" backlog that most affects the copy cataloging sections. Each section has 8-10 ranges of books that constitute their "working" backlog.

The problems that we have with backlogs are in maintaining them and in locating items within them, but these are not really copy cataloging related issues. Another related problem is storage space. I would like to have more space for storing parts of our backlog outside of the department, so that within the department we could use more of the shelf space for working areas. This would allow catalogers to have more of their current books on shelves close to their desk rather than on book trucks. Currently we must use multiple books trucks around each desk because almost all of the shelf space in the department is used for storing backlogs of one form or another.

June 1986

QUALITY IN COPY CATALOGING AT IRVINE

D. Kathryn Weintraub
Principal Cataloger
University of California, Irvine

The Catalog Department at Irvine is responsible for cataloging monographs for the main library and for most departments. We do not catalog serials, or items for either the Biomedical Library or the Special Collections Department.

The Library has used OCLC since 1976 and our tapes are routinely loaded into the U.C. System Online Union Catalog, MELVYL. Although the card catalog is still in the building more than 75% of the collection is accessible through the online catalog. We did file title cards as a form of back-up for quite awhile but no cards have been filed since the first of this year.

In terms of the flow of work, the department is divided into a bibliographic search section, catalog section, inputting section, and card maintenance (i.e. shelf-list maintenance) section.* The actual cataloging is done by ca. 14 FTE library technical assistants and 3 FTE librarians. Items coming into the department are first searched and then distributed to catalogers on the basis of cataloging difficulty.

Not surprisingly, our catalogers are expected to follow appropriate national standards. For the most part these are current standards: AACR2, Library of Congress Subject Manual, Library of Congress Classification schedules, Cataloging Service Bulletins, and the various OCLC format manuals. For current cataloging, this often means only that the cataloger need verify that our library has acquired another copy of the same edition as the one Library of Congress cataloged. For older records, however, the catalogers must routinely review the choice of access and form of access for the item. Even though the description of the item on older records is usually left unchanged, the number of revisions required because of changes in the rules governing access and because of changes in Library of Congress subject heading practice can still be great.

Clearly all such changes have the potentiality for error. Our overall goal for minimizing this possibility is to ensure that our catalogers know and understand the national standards that are relevant to their work. This means that they should be consciously aware when they edit a record of the reason why the changes are necessary. It also means that they are expected to recognize mistakes in catalog copy and to raise questions in terms of how to interpret an appropriate national standard.

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*This description of departmental organization is greatly over-simplified in order to emphasize the flow of work in the department.

There are several different things which we do to achieve this goal. These relate to the distribution of work, ways of helping the catalogers to become aware of the decisions which they make when editing a record and the concomitant possibilities for error, and finally procedures for the formal review of their work.

All of the work is distributed according to the level of cataloging difficulty involved. In order to make such decisions, we developed a document listing the levels of cataloging difficulty. The exact categories are too detailed to describe in the available time period. Briefly, we did a faceted analysis of cataloging problems and found that the facets involved were,

1. Source of the record
2. Language of the original work
3. Type of material
4. Need to revise and/or establish descriptive headings
5. Need to revise and/or define the subject analysis

After identifying values representing various levels of difficulty for each facet, we then tried to find indications in the OCLC records that would correlate with the values of these facets and we ranked the various combinations of values by the number and kind of skills required. The language facet, for example, had four values,

1. recognition of the alphabet
2. ability to interpret formal statements e.g., an edition statement or a series statement
3. ability to supply appropriate capitalization and/or diacritics for that language
4. ability to interpret informal statements such as a discussion in the preface of the bibliographic history of a work.

The most important indicators in the OCLC record that we used are,

1. The source of the record
    - Library of Congress copy
    - Library of Congress based copy
    - OCLC member contributed copy
    - Related copy
    - No copy

2. Literary works or works requiring subject analysis

3. Type of description of the item. (This was one of our more controversial choices but it is easily recognizable and the catalog codes correspond approximately in time period with major changes in L.C. subject analysis practices.)

4. Language of the original work

5. Type of material

One advantage of this approach is that the catalogers can see by consulting the document exactly what they are expected to know. The levels of cataloging difficulty are cumulative and each level is accompanied by a statement of the type of knowledge required -- for example,

> Detailed knowledge of provisions of the current catalog code for choosing the name and form of name for jurisdictions.
>
> Detailed knowledge of the OCLC rules for retrospective input of Library of Congress records.

The most important thing we do in order to help our catalogers to maintain their knowledge of national standards is to set time aside for section meetings where the catalogers actually read and discuss new documents when they are issued -- for example CSB no. 32. The frequency of these meetings varies but for the upper level copy catalogers it is approximately 1 1/2 hours per week for perhaps as many as 40 weeks per year. For lower level catalogers, the amount of time is far less.

We also have more formal training programs for new catalogers or for catalogers who are going to begin work at a higher level. Sometimes, catalogers who are already working at these levels are encouraged to attend the sessions also so as to review systematically the published documentation relating to their current assignment.

The purpose of these programs is to help the cataloger to learn an exact sequence of decisions to be followed and to relate each one of these decisions to an appropriate published national standard -- e.g. a specific rule of the catalog code or a specific instruction sheet from the subject manual, a specific OCLC directive on tagging ... etc. I rely heavily on rather detailed flow charts for emphasizing the need to follow a prescribed sequence of steps.

Each week the participants in these formal workshops are asked to bring Library of Congress records on which they have worked during the week and explain how the record illustrates L.C.'s application of the particular standard discussed at the previous meeting. I find this is usually more effective than providing actual exercises. For one thing, they are all already cataloging so it is at least questionable whether they need more drill or more understanding of their work. This approach encourages them to look analytically at examples of good cataloging which they can then use as models. It also emphasizes to them that it is their responsibility to learn to recognize these situations in the records with which they deal.

However, I do also use exercises occasionally and, when I see particularly good examples or particularly horrible examples, I route them through the cataloging section so that all of the catalogers can see the title page and an OCLC printout of a solution to the problem.

The MELVYL Online Catalog provides another means for catalogers to see how other catalogers handled the same record that they worked on. This is not one of the intended uses of MELVYL and it isn't one of the most necessary uses either. Nonetheless, it is possible to call up records on MELVYL and see variations between the campuses.

Discrepancies between campuses do not show in either of the two displays commonly used by the public (page 2 of the handout) but in the MARC display (pages 3,4, and 5 of the handout), the separate fields do not merge unless they are identical. Such multiple fields indicate different interpretations of the catalog code and different campus policies as well as errors in cataloging. In the case of the work illustrated in the handout, nine libraries cataloged the work and there are eight different versions of the series statement (pages 3 and 4 of the handout). In this case the differences are almost all derived from doubt as to whether "Third series" should be interpreted as a subseries or as part of the item designation, but there are also some mistakes in spacing and the use of prescribed punctuation. (Incidentally, this is a chapter 6 revised record.)

The third important part of a program to maintain quality in cataloging is a program for formal review of the cataloger's work. (This, incidentally, is the part of the program at Irvine which still needs the most development.) There are two components of such a program: revision and evaluation.

In my view revision is necessary when a cataloger begins a new assignment and should continue until the cataloger demonstrates an ability to catalog at that level of difficulty. This revision should re-enforce their training -- i.e. whenever a record is revised, it should be returned to the cataloger with written (or, occasionally, oral) instructions as to what the cataloger should do to correct the record, and the standard on which these instructions are based (usually a rule number) should be cited.

However, in practice there are problems. First, several of our catalogers are working at levels well above their ability and there seems little hope of cutting them loose without any revision. Second, some of our supervisors have difficulty with such ideas as "Never write on somebody else's copy. That is the cataloger's responsibility." or with the idea of citing a source for their instructions. As a consequence, I think there is too much revision going on in our department and that some of it is poor revision in the sense that it is not intended to help the cataloger to become an independent worker. Improvements in this area will come in time, in part because our supervisors are gaining greater confidence in their knowledge of the relevant standards and in part because we have, within the last few years, been able to recruit better qualified catalogers.

Evaluation is necessary in order to monitor and standardize the work of the department -- and, in any event, the institution requires periodic written evaluations. However, the basis for evaluation is somewhat problematic. Initially, I simply set aside one week every quarter and counted the number of changes I had to ask catalogers to make on their records. I then analyzed the types of change requested in order to identify the kind of problems that the individual catalogers had with their work.

This is not a good method for several reasons. The chief difficulty is that this amount of counting took too much of my time and the individual samples were too small. As a consequence the error rates could vary greatly from cataloger to cataloger. A supervisory cataloger, or one who had been on vacation for part of the sample period, might complete as few as three records while another cataloger might complete 100 records. If the first cataloger made one error and the second cataloger made 20 errors this would result in error rates of 33% and 20% respectively. Even worse is the fact that the rates for the same cataloger varied wildly from one quarter to the next. This made it difficult to determine whether the cataloger was or was not progressing. Yet another flaw was the fact that not all errors were of equal magnitude. A failure to capitalize the letter 'C' in the word 'colophon' for a quoted note is certainly far less serious than forgetting to include an edition statement.

Last January, I distributed a questionnaire to our top level copy catalogers including supervisors (7 people; 5 responses). The purpose of this questionnaire was to solicit their ideas for changes in procedures within the department and also to determine what they perceived as problems. The results were tallied and discussed at section meetings. Many of the questions were open ended and so there were cases where one cataloger made a suggestion that others thought good but hadn't thought to make themselves.

Many of the issues raised in the questionnaires are still unresolved. The most immediately effective group of responses related to the basis for evaluation. Briefly, we agreed that evaluations should be based only on major errors in cataloging and not on tagging errors or errors relating to departmental procedures. Major cataloging errors were defined as,

1. Tying our record to the wrong record in the database. (This is a major error because our holdings display under the wrong description in the MELVYL Online Catalog.)

2. Description of the item for any element or area specified in Library of Congress rule interpretation 1.0. (This is the R.I. that distinguishes printings of an edition from items of different editions.)

3. Errors in the choice of access points or the form of access points as defined in part 2 of AACR2, the Library of Congress Subject Manual, or possibly, the Library of Congress Classification tables. (Copy catalogers do not normally assign classification numbers so this last group is not statistically high.)

When I counted in April the results were generally lower and they "felt" about right to me. This is an improvement because they formerly often seemed higher to me than I would have expected for the individual cataloger. The counts are still not based on an adequate number of records. In order to solve this problem, I hope

1. To develop a spreadsheet that I could use to cumulate these figures over time

and

2. To change to a system where I systematically review the work of one cataloger at a time. I hope that this will enable me to make statements to that cataloger about the quality of work as reflected in a larger sample -- e.g. 50 or 100 records.

* * *

One of the questions we were asked to address was the question of whether tagging is important for copy cataloging. I certainly think it is less important than the content of a catalog record. However, we always try to supply correct tags, indicators, subfield codes, and fixed fields values in all records regardless of whether the record is an original record or an edited record.

There are several reasons for this. First, it is easier for our catalogers to prepare copy if they don't have to follow different standards for edited records and new records. At Irvine, nearly all of our catalogers do prepare new records for the OCLC database. At the lowest levels of cataloging difficulty these records are for simultaneously published editions of works where Library of Congress has acquired one edition and we the other.

Second, it is a more efficient use of storage space in the MELVYL Online Catalog. A single variation in a subfield code requires that an additional field be stored. While there is no way to predict just what each of the other campuses will do, it seems reasonable to suppose that, if our records are correct in all respects including tagging, then our records will more frequently merge with those for the same item from other campuses.

Third, the adoption of the OCLC M300 and microenhancer greatly increases the importance of tagging for edited records. Pages 6 through 11 of the handout are intended to illustrate some of the problems that can come up because of tagging. These particular examples relate to instances where we print the record out from the database and edit it. This is the usual case for records that require an unusual amount of editing and also for records which, for one reason or another, require an unusual amount of revision.

The inputting unit first keys in the record numbers and processes a disk in order to copy records from the database to the disk. Then the inputter inputs the catalogers' revisions onto the disk and processes the disk against the database. Page 6 reproduces a copy of a function report showing that 19 records were successfully processed against the database and that there were three records which were not processed. Page 7 shows the numbers of the records that were successfully produced or updated in the database. Page 8 lists the errors which prevented three records from processing.

Record number 6080006 did not process because of an illegal subfield code in field 12. A printout of this record on page 9 shows that field 12 is incorrectly tagged 500 although the note is obviously a 533 note. The record failed to process because the subfield codes for such a note are not allowed in a 500 field.

Record number 12898278 did not process because of a problem with the 260 tag in field 8. A printout of the record from the database (page 10 of the handout) shows that the record has been corrected (See the fixed field for "Rec stat" and the ≠d in the 040 tag). The earlier printout of the same record (page 11 of the handout) did not have either an 043 field or an 090 field. The addition of these fields affects the numbering of the tagged fields and so what was field number 8 in the earlier version of the record is now numbered 10. This is the first field altered by the inputter following the introduction of the new field 4 and therefore this was the first field the system looked for in order to make the change on our tape. And the search failed because it looked for field 8 and then, when it found the current field 8, it simply did not match field 8 as edited on our disk.

This is all fairly straightforward for libraries that use the microenhancer, but I thought it might be interesting for libraries using other systems. It also emphasizes another reason why we are becoming even more concerned than we were about the accuracy of tagging in copy cataloging.

UNIVERSITY OF ILLINOIS

MANAGEMENT AND WORKFLOW OF COPY CATALOGING AT THE UNIVERSITY OF ILLINOIS AT URBANA-CHAMPAIGN

Sharon E. Clark

ORGANIZATION

As the largest state-supported university library in the country, with holdings of over seven million volumes, the University of Illinois at Urbana-Champaign (UIUC) is also the world's largest Dewey library. In this highly decentralized environment which includes over 35 departmental libraries spread across a large campus serving 35,000 students, the UIUC Library is organized administratively into General Library Services and Departmental Library Services.

Copy cataloging at the University of Illinois at Urbana-Champaign is centralized within the Automated Systems Unit of the General Library Services Department. Automated Systems and the placement of copy cataloging within this unit was initially organized in the late 1970's to meet the following goals: to organize the workflow according to function rather than form, to more clearly define professional responsibility by redistributing clerical activities, to prevent duplication of effort and to maximize our use of automation. (1)

With a staff of approximately 60 people, Automated Systems is responsible for searching and inputting via OCLC, copy cataloging, maintenance of the online catalog, and for coordinating the operation and development of the online online. As a participant in OCLC since 1974, OCLC is the source of cataloging records for the Library's online catalog which includes two components: LCS and FBR. LCS, the library's automated circulation component was implemented in 1978. An IBM system originally developed at Ohio State University, LCS was modified to function in a multi-campus environment. The LCS database contains short records for the Library's collections, including call number, main entry, title, edition statement, place and date of publication, LC card number and detailed holdings by copy and location. For almost a decade, LCS has served as the master shelflist, on-order file and only record of current location. The full bibliographic record component (FBR), became operational in the summer of 1984 and is based on Western Library Network (WLN) software. This database representing the joint holdings of both the UIUC Library and those of the Riverbend Library System, contains over one-million full bibliographic records. Each full record has a system link to the associated LCS record for that title. Authority control is provided through a separate authority file containing the Library of Congress authority tapes for names, series and subject headings.

All cataloging at UIUC is accomplished using OCLC to create an archival tape which forms the basis of both the LCS and FBR components of the online catalog. The online catalog is updated weekly as new titles are extracted from the archival tapes by computer program. (2)

WORKFLOW

The basic model for workflow and procedures regarding copy cataloging was largely developed to accommodate the adoption of Dewey 19 and AACR II in 1979 and to facilitate the future implementation and expansion of the online catalog with minimal disruption. Initially created for monographs, serials, analytics and music scores and recordings were later integrated into the basic pattern of the OCLC Cataloging Unit. The primary goal of the OCLC Cataloging Unit was to structure the flow and procedures for maximum productivity and to keep pace with currently received materials.

As materials are received from the Acquisitions Unit, they are searched on OCLC for cataloging records. Items lacking cataloging records in the OCLC database are routed with accompanying authority information for original cataloging. Items located in the OCLC database with our UIU holding symbol are processed as added copies. Monographs identified with special streamers as having cataloging-in-publication (CIP) information are searched only on LCS. Those items with records already in LCS are then processed as added copies. New materials with CIP information are routed to the OCLC Cataloging Unit where paraprofessionals handle the authority work, Dewey classification and cuttering prior to processing on OCLC. For materials lacking CIP information, printouts are produced to facilitate Dewey classification. Both the item and accompanying printout is routed to the OCLC Cataloging Unit. Copy cataloging of monographs, serials, analytics and music scores and recordings are handled by a staff of two full-time professionals, five high ranking paraprofessionals and graduate assistants from the Graduate School of Library and Information Science on a half-time basis. Following the editing and classification process, clerical staff (1 FTE) assign cutter numbers using the shelf listing capabilities of LCS. The materials are then routed to OCLC operators for processing.

Eight clerical staff members are responsible for editing records in the OCLC database. Utilizing the cataloging microenhancer software, they complete the fixed field, pagination and holdings. Headings which require cross-references are flagged and sent to the maintenance section for authority file updating, after the record has been updated on OCLC. The final step is for the operators to pencil in the call number in the piece before routing the item to the marking section. The order cards which accompany the items are filed in the manual temporary shelflist. These records are checked against the online catalog on a weekly basis to ensure their inclusion and correctness of information. Discrepancies in headings are handled post-cataloging by online catalog maintenance staff.

Over the years, a generalist rather than a specialist approach to copy cataloging has been found to be most effective. Staff do not specialize by subject or language. This approach has the effect of minimizing protectiveness of an area as well as reducing the potential for developing backlogs which would tend to occur when staff are absent or on vacation. Neither are staff restricted by the source of cataloging. All staff are trained to handle member-contributed cataloging records as well as those emanating from the Library of Congress. Complimenting this approach was a decision made several years ago to eliminate the use of personal book trucks to store materials being handled by individual staff members. The book truck as an extension of personal desk space strengthened the idea of territoriality and individual control over the movement of materials. The book truck, then impeded processing during staff absences since co-workers were reluctant to invade another's space.

While we use a generalist approach, classifying and editing in all subject areas and languages and not separating materials according to whether the cataloging source is LC or member-input, we do have priorities. All newly received materials, including rush items, items with patron notification and all materials destined for departmental locations receive the highest priority. Materials destined for the general library stacks are also of high priority.

Since foreign language and esoteric materials are an important part of large research library collections, it is important to integrate these materials into the workflow. Two approaches have been successfully used at the University of Illinois to accommodate low-use materials. The first was a backlog control project whereby short records were made available for these materials on LCS with an accession number and a "PRECAT" prefix in place of a call number. Full cataloging was provided for those materials when they were circulated. Approximately 20,000 items were made accessible on LCS between 1980 and 1984. In general, this project represented a strategy to provide access to low use materials during a time of great change including the adoption of Dewey 19, and AACR II as well as to cope with the severe systems problems experienced by OCLC in the early 1980's. All of these items have since received full cataloging.

The second approach to integrating low-use materials involved materials for which full cataloging was deemed necessary, but due to the large number of items involved, processing them at one time would have created backlogs in copy cataloging. These materials were accepted for processing based upon an agreed minimum weekly quota. The quota depended on the amount that could be reasonably handled in Automated Systems without disrupting the workflow patterns. Staff in Automated Systems could however request additional materials as time allowed. This approach has been highly successful as evidenced by the elimination of thousands of South Asian materials acquired on the PL480 program. As a result of these procedures massive backlogs are no longer a problem. However the policies and procedures remain in place to ensure the timely cataloging of all materials without interrupting the balance of workflow.

STAFFING

Flexibility in staffing assignments has been particularly useful in coping with staff turnover at the graduate assistant level and to provide support in areas experiencing heavy workloads. The highest volume of materials is monographs. While each staff member has a primary area of responsibility such as serials and analytics or music scores and recordings, all staff have been trained to classify and edit records for monographs, as needed.

The unit relies heavily on graduate assistants from the Graduate School of Library and Information Science. Graduate assistants are hired annually for half-time appointments, and may be renewed for one year. Training procedures are designed to support the approaches of generalization and team play. Following orientation sessions to the unit, department, library, and the online catalog, new staff participate in hands-on sessions searching and inputting via OCLC. Actual training sessions in classification and editing are accomplished on a one-to-one basis with a professional librarian in the unit. During the training period, graduate assistants are exposed to the full range of Dewey classification and subject areas. The few local classification schedules are taught after proficiency in Dewey is achieved. They begin to edit LC cataloging records and progress to OCLC member-contributed copy. Graduate assistants are revised for approximately three months at which time they are encouraged to consult with a professional as needed.

SUMMARY

Copy cataloging has been extremely productive since it was centralized in 1978. Several factors have contributed to its success. A stable and experienced support staff combined with streamlined procedures allows for the flow of the majority of materials in a fast, direct method. All materials are searched on receipt, all copy is accepted for immediate cataloging and suggested Dewey classification numbers are used whenever possible. Another factor which has allowed for streamlining has been automation. The functional capability of LCS to serve as a master shelflist, on-order file and single record of current location has allowed for making changes in that database without making corresponding changes in OCLC. Searching for materials with CIP information and most of the added copy production is limited to LCS. With the implementation of the FBR component of the online catalog, procedures were further refined and streamlined as catalog card production ceased. The ten OCLC terminals are scheduled daily for production from 7:30 a.m. to 8 p.m. Improved technology of these terminals is having an impact on productivity.

The ability to use the OCLC M300 and microenhancer as an offline workstation for editing, revising and updating greatly aids productivity by reducing delays caused by system response. Response time delays are limited to the initial search for OCLC copy. As staff become experienced with the latest version of the Microenhancer which provides for the use of text search keys, response time as an inhibitor of productivity is virtually eliminated.

Over the last few years, great effort has been invested in analyzing and refining copy cataloging workflow and procedures to fully utilize the capabilities of both staff and automation. The benefit has been for the users who are able to search an up-to-date database and access materials in a timely fashion.

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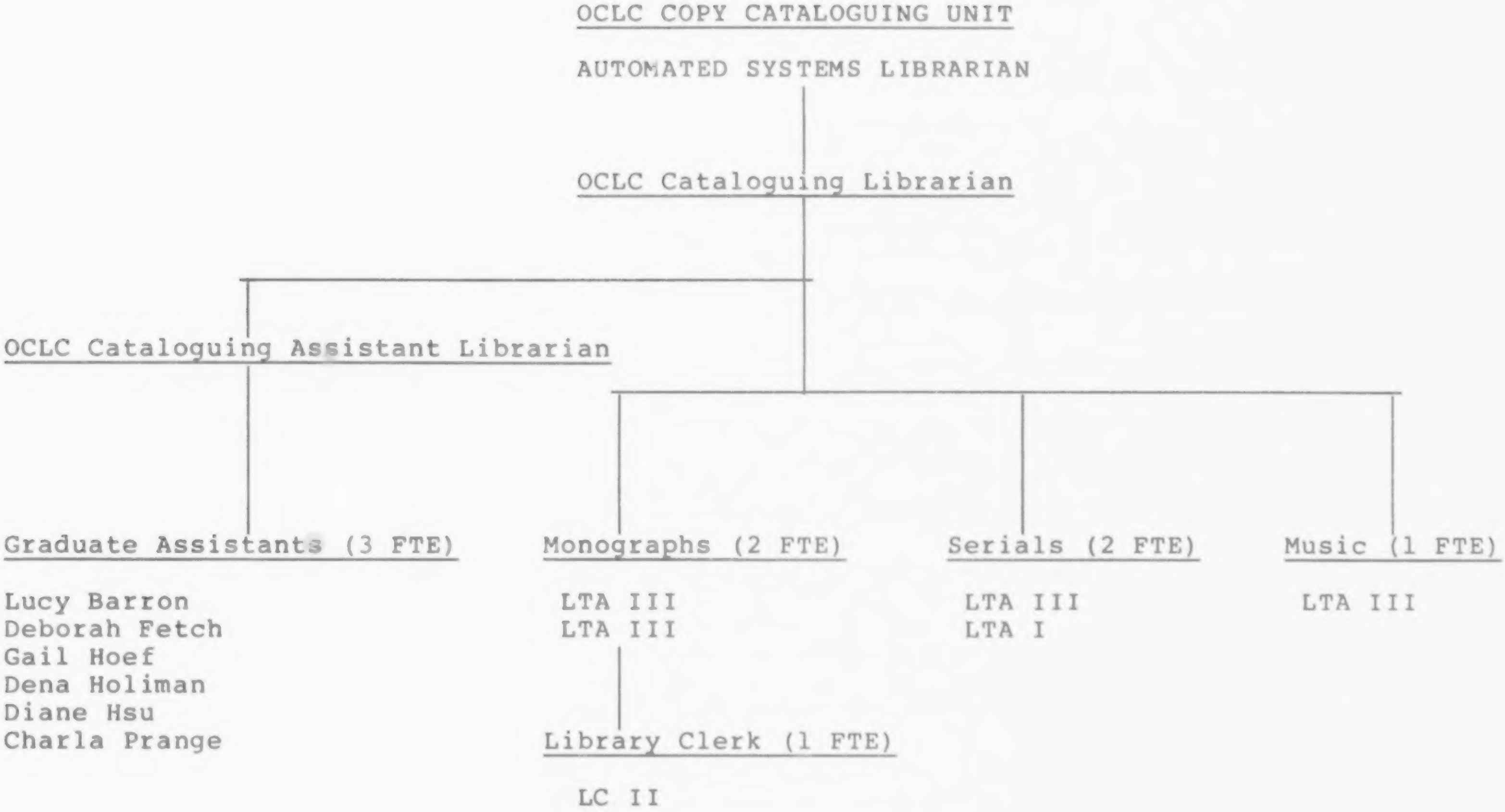
OCLC COPY CATALOGUING UNIT
AUTOMATED SYSTEMS LIBRARIAN
OCLC Cataloguing Librarian
OCLC Cataloguing Assistant Librarian
Graduate Assistants (3 FTE)
Lucy Barron
Deborah Fetch
Gail Hoef
Dena Holiman
Diane Hsu
Charla Prange
Monographs (2 FTE)
LTA III
LTA III
Library Clerk (1 FTE)
LC II
Serials (2 FTE)
LTA III
LTA I
Music (1 FTE)
LTA III

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UNIVERSITY OF ILLINOIS

UNIVERSITY OF MISSOURI-COLUMBIA

Compiled by Vic Myers
Head, Search/Catalog Unit

SEARCH/CATALOGING, MONOGRAPH CATALOGING WORKFLOW

10/86

Search/Cat.

1. Materials received from Acquisitions, Gifts & Exchanges and Serials Cat. (STOs)

2. SOR (Pre-cataloging searching) is done for all items not already identified as DLC (LC cataloging) or adapts. Includes:

   a. OCLC search for bibliographic record
   b. Series authority search (unless LUMIN authority present, for STOs). At this time LCNAF not searched for DLC records with AACR2 cataloging; otherwise, includes: LCNAF, Serials Catalog, LUMIN (only for older items not found elsewhere).
   c. LCNAF search for perceived name headings on records with no bibliographic record in OCLC.

3. NUC searching is done (at this time) only for items which have no OCLC member cataloging which are imprints (or have likely other editions) outside MARC tape coverage.

4. NUC searching for name authority formulation is only done for name headings not found in LCNAF or LUMIN on adapts creating a new record or for headings we add to an existing bibliographic record.

5. SOR searching is reviewed for inexperienced searchers

6. Items identified as DLC or adapt are sorted out and worked (or shelved) as they are identified:

   a. for DLC, name headings and subjects are accepted
   b. for adapts, name headings are accepted from DLC or member cataloging, subjects are checked for LC copy, accepted from DLC; name authorities are only made for headings added to the record.
   c. for adapts creating a new record, name authorities and subjects are checked, name authorities are formulated if needed.

7. Materials not remaining in Search/Cat. are placed on assigned shelves in Monog. Cat., **except:**

   a. RUSH items are placed on appropriate cataloger's desk.
   b. RARE items are placed on the designated shelf in the office of the Head of Bibliographic Control.
   c. MRDFs are given to the Head of Search/Cataloging.

Monograph Cat.

1. Materials from the shelves are distributed on Thursday mornings. For FY 1986/87 these materials may include adapts and even possibly some CIP if workflow is out of balance.

2. Materials received directly in Monog. Cataloging are:

  a. microforms on STO received from LA from Acquisitions in charge of STOs by LA2 (.5FTE) (except *Spanish Drama*... received by L4 cataloger)
  b. sound recordings passed to (or retrieved by) LA2 music specialist from the Recorded Sound Center)
  c. UMC theses/dissertations are received by LA2 (.5FTE) from the Technical Services secretary.

3. For original records, catalogers:

  a. search LUMIN authority file for headings without LCNAF copy.
  b. search (or direct a student assistant to search) NUC as needed to establish name headings when there is no LCNAF copy or AACR2 form in LUMIN
  c. complete name authority forms for all headings not already established (or add needed references to established headings)
  d. do subject analysis entering LCSH checked forms, classify and complete descriptive cataloging, enter all fields necessary to effectively catalog the item, following OCLC and LUMIN standards (both follow LC and AACR2).
  e. use series form as supplied on LCNAF or LUMIN authority: if none present, return to Search/Cat.

4. For member records, catalogers:

  a. search LCNAF, LUMIN or NUC and formulate name authorities only for new name headings added to the record, accepting the forms if present on the member cataloging
  b. identify that the item matches copy, minimize changes in descriptive cataloging
  c. check subjects for analysis only
  d check classification only as needed, check shelf list
  e. review and edit only five fixed field required by LUMIN: Lang, Illus, Ctry, Cont, Dates.
  f. use series authority supplied, if none supplied and indications show we have no previous series decision, accept member treatment: if checking is incomplete, return to Search/Cat.

5. When cataloging is complete, materials and cataloging copy are returned to Search/Cat. for entry into OCLC.

6. If errors are detected which cannot be resolved in Search/Cat. or there are illegibilities, the cataloger will be contacted. Recurrent errors or problems will be reported by Search/Cat. to the Head of Bibliographic Control.

UNIVERSITY OF MISSOURI-COLUMBIA
Library

Inter-Department Correspondence

May 19, 1986

TO: Technical Services Department Heads

SUBJECT: Procedures/Guidelines to Implement Library and LUMIN Policies on Analyzed Series

I wish to express my appreciation for the work the Authority Committee and the Cataloging Policy Committee have done on series. They have willingly addressed a "hot" topic, have negotiated for long hours, and have arrived at reasonable conclusions given the constraints set for them. I thank them for their commitment.

I believe we must process analyzed series as they have outlined in their report to me. Since we cannot add staff at this time as they suggested, we must make what we can do match our staffing. I am, therefore, prioritizing the tasks set for us by the Libraries. In general, we will do the highest priority task first. We will do the other tasks as we are able.

1. For each series, create a LUMIN vocabulary record that includes treatment and authority notes. Change all variant series headings in the same file to the approved form.

2. Create an absolutely minimum bibliographic record for the series.

3. Create and maintain a summary holdings statement (include a "last volume bound" note) attached to the bibliographic record for the series. (Usually done in combination with number 2 above.)

4. Make linking notes between vocabulary files.

5. Create appropriate linkages or changes in the serials catalog to reflect LUMIN series authority work.

6. Correct or update bibliographic records in LUMIN as required.

The priority task for Technical Services is to process materials so that they are available for our users. Our ideal would be to accomplish all 6 tasks for every series in which these materials are issued, but this is an unreasonable goal given our staffing level. Rather, we will try to accomplish all tasks for series on standing order since they are, by definition, recurring and we can "fix" them once for all receipts. For one-time orders, we will do less and store sufficient data on paper so that we can accomplish other tasks as time permits. The farther along we are in creation of a true series authority file in LUMIN, the easier our series tasks become and the more time we can devote to our other tasks. (We still hope we can get better access to series in LUMIN so that we will not have to do "remedial" work.)

For standing orders we will do as much series work as we can. (We will cut back if we find we cannot keep up.) For one-time orders, we will do task number one (above) and store OCLC copies used for production of volumes in the series along with the series authority copy in whatever form it exists. A full record of authority searching done will accompany all copy passed to Serials. As we are able, we will process this data by doing all authority work. Specific procedures follow.

Although our serials catalog is to be searched before completing all authority work so that we can identify variants, holdings, etc., after series work is done in LUMIN for a series, LUMIN is to be the authority, not the serials catalog.

1. Standing Orders

   A. Serials receives the pieces, checks them in, records needed information from the serials catalog, and searches them for series authority data in the following priority order and follows policy number 7:

      1). If in LUMIN, complete the vocabulary record if necessary. Send the piece on to Search/Cataloging with a copy of the vocabulary record.

      2). If in LCNAF, copy the LCNAF record, create a full LUMIN vocabulary record; send the piece with copies to Search/Cataloging.

      3). If in a DLC record, create appropriate LUMIN vocabulary record; send the piece and copies to Search/Cataloging.

      4). If in a member record, create appropriate LUMIN vocabulary record; send the piece and copies to Search/Cataloging.

      5). If no record is found, make series decision based on serials catalog data (if any), plus appropriate AACR2 rules and LCRIs. Create LUMIN vocabulary record; send piece and copy on to Search/Cataloging.

2. One-time Orders

   A. Search/Cataloging receives the pieces from Acquisitions, Gifts, or the backlog. The serials catalog may or may not have been searched.

   B. Search/Cataloging searches for series authority data in the following order of priority and follows policy number 7 for record production. (Exception: at first, the LCNAF will be the first search. When there are enough LUMIN vocabulary records in the file, LUMIN will become the first search as stated below.)

1). If in LUMIN as UM decision (i.e., there is a NOV note input by a UM cataloging center) follow it, print the record, attach the voc record to the input copy to be eventually passed to Serials.

2). If in LCNAF, treat as LC has done. If LC classifies the series together, determine UMC's classification treatment and follow UMC's decision. Copy the LCNAF record to be passed on to Serials for completion of the authority record.

3). If in OCLC on DLC bibliographic record, treat it as LC has done it. If LC classifies the series together, determine UMC's classification treatment and follow UMC's decision. Copy the record to go to Serials for completion of authority record.

4). If in OCLC on member record, search the serials catalog (as necessary). If our treatment matches or if we have no treatment, treat as on the copy and send paper to Serials for completion of the authority record. If our treatment conflicts, send the piece and copies to Serials for resolution.

5). If nothing is found, search the serials catalog (as necessary). If treatment is found, use it and pass paper to Serials. If nothing is found, send the piece to Serials for a decision.

C. After production, copies follow their normal route. After Catalog Management is finished with the copies, they are sent to Serials. These copies are then stored in Serials and our other tasks are completed for the series as time is available.

By following this amended plan, we believe we can process materials efficiently enough that we will not create sub-backlogs and we will not impair workflows by creating a bottleneck in series processing.

April, 1986 rev. Technical Services Policy 3.11

UMC AUTHORITY POLICY FOR TOPICAL AND GEOGRAPHICAL SUBJECTS

All authority work for the form of topical and geographical subject headings will be done from the new headings list generated by LUMIN as the final step in processing. The only exception will be original input into OCLC.

Subject analysis is dependent on the type of cataloging given the item.

TYPE OF CATALOGING	SUBJECT ANALYSIS	SUBJECT FORM
1. DLC/DLC	Accept	Accept
2. Adapt from DLC/DLC	Accept	Accept
3. Adapt from LC copy	Check LCSH Found: Accept Not found: Do subject analysis.	Accept Supply correct form.
4. NEW from DLC/DLC or LC copy	Check LCSH Found: Accept Not found: Do subject analysis.	Accept Supply correct form.
5. Member	Do subject analysis. Change or add subjects if needed.	Retained headings: Accept Additions: Supply correct form.
6. Member-Serials Retro	Has analysis: Accept No analysis: Add subject headings from serials card, if available.	Accept Accept
7. Original	Do subject analysis. Supply subject headings if needed.	Supply correct form.
8. Original K level Serials Retro	No subject analysis.	

Approved by Technical Services Department Heads: 4/10/86

Approved by Assistant Director for Technical Services: 4/10/86

Technical Services Policy 3.2

UMC AUTHORITY PROCEDURE FOR NAMES

All authority work for names will be done from the new headings list generated by LUMIN as the final step in processing. The only exception will be original input into OCLC.

I. OCLC COPY CATALOGING:

A. No authority work will be done for the name headings on copy cataloging.

B. Obvious typos and mistaggings should be corrected.

C. Conference names should be rearranged and tagged in AACR2 form.

D. When a heading is added to member copy:

1. If in the judgement of the cataloger the name is distinctive, a heading should be created based on the piece and used in cataloging. A Local Name Authority Form should be filled out only if a reference structure is needed.

2. If in the judgement of the cataloger the name is non-distinctive, check LCNAF and LUMIN. Any AACR2 form found should be used in cataloging. If no AACR2 form is found, create and use a heading based on the piece. A Local Name Authority Form should be filled out if a reference structure is needed.

II. ORIGINAL INPUT:

A. Cataloging for original OCLC input requires full authority work and AACR2 name forms during cataloging.

B. Search LCNAF for the AACR2 form of the name. If found, use in cataloging. Authority printouts may be discarded if they contain all needed references. If an additional reference structure is needed, annotate the printout and give to Catalog Management.

C. If the AACR2 form is not found in the LCNAF, search LUMIN for an AACR2 form established by LUMIN cataloging centers. (These headings are annotated AACR2 and the NOV is the symbol of any UM cataloging center). If found, use in cataloging.

D. If no AACR2 form is found, create an AACR2 heading. Fill out a Local Name Authority Form. Sources to be checked are left to the judgement and knowledge of the originator.

E. The Authority Librarian will approve the Local Name Authority Forms submitted to him/her. The approved and/or corrected form will be returned to the originator before cataloging.

F. Unit heads are responsible for deciding which of their staff members should have names checked by the Authority Librarian, based upon difficulty of the names, expertise and/or experience of the staff member and other factors they deem important.

G. After cataloging the Local Name Authority Form should be given to Catalog Management for LUMIN input.

III. SEARCH/CATALOGING:

A. No authority work will be done for copy cataloging.

B. If during pre-cataloging searching, no bibliographic record is found in OCLC:

1. The headings on the piece will be searched in the OCLC name authority file.

2. If found, a print out of LCNAF record will be made and sent with the piece.

3. If not found, the heading will be searched in the OCLC bibliographic file, and any LC or equivalent hits will be printed off and sent with the piece.

4. If heading is not found in either the OCLC authority or bibliographic files, the forms of name searched should be marked on the search form.

C. If LC cataloging or LC adapt copy is available, the authority procedure outlined for copy cataloging will be followed.

D. If no LC cataloging or LC adapt copy is available, the piece and any accompanying authority work will be sent to Monograph Cataloging.

IV. GIFTS: Same as Search/Cataloging above with the exception of C.

V. MONOGRAPH CATALOGING:

A. Copy cataloging: No authority work is done if the copy contains the heading needed. If a heading needs to be added to the cataloging, see Copy Cataloging above.

B. Original: See the procedure for original OCLC input.

VI. SERIALS CATALOGING and SERIALS RETRO:

A. Copy cataloging: No authority work is done if the copy contains the heading needed. If a heading needs to be added to the cataloging, see Copy Cataloging above.

B. Original: See the procedure for original OCLC input.

C. SERIALS CATALOG: If the form of the name used during cataloging is known to change the name as used in the Serials Catalog, notification will be given to Catalog Management.

1. Correction of an error: Card(s) to be corrected and a note of the correction should be given to Catalog Management. Removals should be left in the new position in the serials catalog. The serials catalog, author/title catalog and LUMIN will be corrected.

2. AACR2 changes: The authority slip and/or card(s) should be given to the AACR2 clerk. Removals should be left in the old position in the serials catalog for the entry, not for each title. The AACR2 change will be made in the serials catalog, the author/title catalog, LUMIN, and BATAB. The change will be recorded in the AACR2 Weekly List and circulated to those areas outside Technical Service that keep collections in the order determined by the serials catalog.

VII. CATALOG MANAGEMENT:

A. NEW HEADINGS LIST: Catalog Managment will check the LUMIN New Headings List for the author vocabulary file and for names used in the subject vocabulary file against the LC Name Authority File on OCLC. Dead-end searches will be checked against the LC Name Authority File on fiche.

B. NAME FOUND IN LCNAF: If the name is found in the LCNAF the authority record will be printed off and diacritics marked.

1. LUMIN will be checked in a search broad enough to find all forms of the name in both the author and subject vocabulary files.
2. Variant forms of the name will be reconciled to the LCNAF form.
3. If no cross references are present on the LCNAF no further work is done.
4. If a reference structure is needed to conform with LUMIN standards or with UMC reference standards, it will be added to LUMIN. The authorized form of the heading will be annotated with the LCNAF number and the AACR2 designation if appropriate.

C. NAME NOT FOUND: If the name is not found in LCNAF, LUMIN will be searched in a search broad enough to find all forms in both the author and subject vocabulary files.

1. If only one form of the name is found in LUMIN, a reference structure is added, if needed.
2. If more than one form of the name is found in LUMIN and cannot be resolved to one form by simple correction of tags, diacritics, and/or subfields; the bibliographic statement of responsibility will be checked for agreement with the form of the name.
3. If the multiple forms still cannot be resolved, the OCLC bibliographic files will be checked for LC usage and LUMIN reconciled to that usage. Cross references for variant forms will be added and the heading annotated UMC.
4. If LC usage cannot be determined, the print out of variant name forms and any supporting documentation will be given to the Authority Librarian. After resolution of the conflict by the Authority Librarian, Catalog Management will resolve the headings on LUMIN, add cross references for variant forms and annotate the heading UMC, adding the AACR2 designation if directed by the Authority Librarian.

D. LOCAL NAME AUTHORITY FORMS: Catalog Management will reconcile LUMIN to the form given by the cataloger, code the record AACR2, add the reference structure, and make the NOV UMC.

VIII. LUMIN CONFLICTS: When a conflict in the LUMIN vocabulary files is discovered by any member of Technical Services, other library staff, or patrons, Catalog Management will resolve the conflicts following the above procedures.

IX. ADDITIONAL REFERENCE STRUCTURE: Additions to LUMIN's reference structure may be given to Catalog Management on an annotated LCNAF printout, or if no LCNAF record exists, by annotating a LUMIN printout.

UNIVERSITY OF MISSOURI-COLUMBIA
Library

Inter-Department Correspondence

February 12, 1986

TO: Technical Services Staff

SUBJECT: Processing OTO Materials

Acquisitions has ordered almost $2 million worth of extra materials this year (OTO materials). We have ascertained empirically that, mirabile dictu, orders are followed by receipts. We are therefore building a backlog of OTO materials. The materials will be stored in Room 113, in Room 28, and in 3 Central Stacks. will be in charge of backlogging and retrieving from backlog.

These items are to be processed along with our "regular" materials. ________ will be coming March 13 to discuss options for processing the backlog. So far, we know we will integrate regular and OTO materials, prioritize the resulting population, and process them according to the priority system. There will be three categories, one being highest priority.

Category 1. (Room 113 as much as possible)
- a. RUSH books (gold and red streamers)
- b. Reference materials
- c. Regular firm orders
- d. Approval items
- e. New subscriptions or standing orders

Category 2. (3 Central Stacks) BAK
- a. Monographs on standing order
- b. OTO monographs published 1981-
- c. OTO one-time serial orders
- ~~d. UMC theses and dissertations~~

Category 3. (Room 28 overflow to 3 Central Stacks) BLG
- a. OTO monographs published before 1981
- b. Gifts and Exchanges
- c. Special program acquisitions (PL 480, Linda Hall, etc.)

Items can be requested for faster processing from any category. Physical arrangements and BATAB coding are yet to be worked out.

Besides these items, there will be other areas which will have increased inputs: serial added volumes, setting up/adding to monographic series, marking, binding, shelving.

I think it is safe to say that no one will be asked to do more than he/she can. We may very well have to process more items with no increases in staff. Given that staff and time will not expand, but that the quantity of items to be processed will expand, it seems logical to me that we will therefore spend fewer person-minutes per item. This can be achieved by focussing our efforts on the essentials and looking at the ways in which we manage those essentials.

More on this topic later, but I wanted you to see where we are at this point. Your help will be needed to process these materials successfully and effectively, and so I seek your help now and throughout this OTO time. We need your ideas for efficiencies. You, who do the work, know what is involved. Please think critically about what you do. We want to provide our users with access to these materials as soon and effectively as possible. I would appreciate your suggestions and help to move us toward that goal.

UNIVERSITY OF MISSOURI-COLUMBIA
Libraries

Inter-Department Correspondence

SUBJECT: Cataloging and Inputting Modifications in 1986/87
Date: August 14, 1986

Our goal to catalog OTO materials in 1986/87 necessitates changes. You have received an additional $10,000 in student wages. In addition to this extra assistance, we will be working under revised policies and procedures designed specifically for this year.

In general, Search/Cataloging is to be responsible for all cataloging-related searching, all inputting, and complete processing of titles with DLC copy. Monographic Cataloging will be responsible for record preparation/cataloging of member and original cataloging. DLC CIP and LC adapt cataloging will be done in both units depending on the difficulty of the task, concentration of work in the units, priorities, etc. But in general, the division of labor is searching and inputting in Search/Cataloging and cataloging in Monographic Cataloging. We will be flexible as needed.

We will process materials, insofar as is possible, in the priority order established for the backlog of materials except that some microforms will be processed "out of order" using the M300 function keys and clerical staff as you have outlined to me.

Here are the specific changes as we discussed:

1. DLC copy will stay in S/C as much as possible. We will examine closely local data fields only (049, 590) and the call number only if the DLC copy exhibits a classed-together number or a number in the "Z" classification or an incomplete number. For AACR2 copy, series treatment will be accepted as is with no additional searching. For pre-AACR2 copy, the LCNAF only will be searched. The series on the pre-AACR2 copy will be accepted as is if no LCNAF record is found. No other fields need be examined.

2. DLC adapt copy will be processed in Monographic Cataloging or in Search/Cataloging, divided as described above. In general, the same fields will be checked as for DLC copy with the addition of those fields necessary to show the adaptation (250, 260, etc.).

3. DLC CIP copy will be processed in both units, divided as described above. Those fields needed to make a full record will be added. Local data fields and call numbers will be handled as described above for DLC copy. No other fields need be examined.

4. Original cataloging will be done in Monographic Cataloging as fully and as well as is necessary to be in compliance with LUMIN and OCLC standards. We assume that series work will be done by the time that the copy and the item reach Monographic Cataloging.

5. Member copy will be processed in Monographic Cataloging. The title, publisher, date of publication, and extent of text (pages, volumes, etc.) will be checked to ensure we use the correct record. Local data will be added. The "5 LUMIN Fixed Fields" will be completed. LC-type call numbers will be treated as are call numbers on LC copy. If the subject headings seem to agree with the content of the title based on obvious items (title, table of contents), it (they) will be accepted. Subject analysis should only be done if there are no subject headings or if there is clearly a conflict between the item and the subject headings. We assume that the series work will be done by the time the copy and the item reach Monographic Cataloging. Other fields should not be examined. If we should identify contributing members whose cataloging is consistently sub-standard, we can consider general exceptions for their records.

6. We will attempt to stop searching that has a low rate of return for our needs. We have identified two ways to do this so far:

   a. NUC searching (including pre-1956) should be avoided except as a last resort. Searching should cease when DLC or member copy is found on OCLC.

   b. Searching LUMIN for series treatment should only be done for older materials not on STO for which no copy has been found.

7. In general, duplication of effort and checking on the work of others ought to be avoided except for new staff and students in training.

8. In addition, you will no doubt wish to make some changes or institute new policies and procedures within the above guidelines.

This coming year will be very busy for us. We should learn a good deal. I am sure that you and the staff of these two units share with me the goal of processing these materials so that faculty and students will be able to use them to expand their knowledge. The staff's efforts and dedication are appreciated. We always depend on their commitments to the best service possible and will be relying on a continuation of that effort in the coming year.

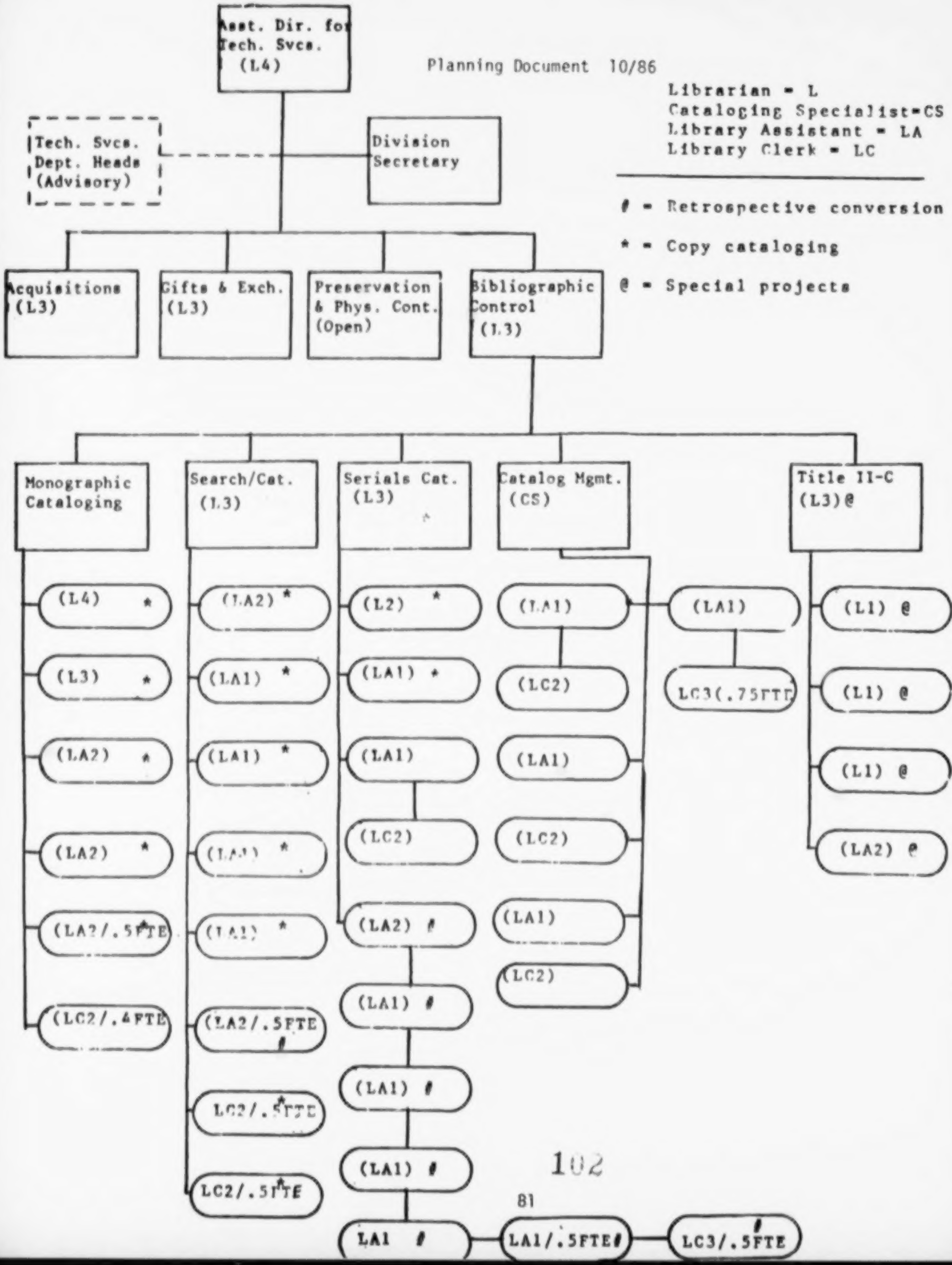
Planning Document 10/86

Librarian = L
Cataloging Specialist=CS
Library Assistant = LA
Library Clerk = LC

- Retrospective conversion

* - Copy cataloging

@ - Special projects



Asst. Dir. for Tech. Svcs. (L4)
Tech. Svcs. Dept. Heads (Advisory)
Division Secretary
Acquisitions (L3)
Gifts & Exch. (L3)
Preservation & Phys. Cont. (Open)
Bibliographic Control (L3)
Monographic Cataloging
(L4) *
(L3) *
(LA2) *
(LA2) *
(LA2/.5FTE *
(LC2/.4FTE
Search/Cat. (L3)
(LA2) *
(LA1) *
(LA1) *
(LA1) *
(LA1) *
(LA2/.5FTE #
LC2/.5FTE *
LC2/.5FTE *
Serials Cat. (L3)
(L2) *
(LA1) *
(LA1)
(LC2)
(LA2) #
(LA1) #
(LA1) #
(LA1) #
LA1 #
LA1/.5FTE#
LC3/.5FTE #
Catalog Mgmt. (CS)
(LA1)
(LC2)
(LA1)
(LC2)
(LA1)
(LC2)
(LA1)
LC3(.75FTE
Title II-C (L3)@
(L1) @
(L1) @
(L1) @
(LA2) @

UNIVERSITY OF NEW MEXICO GENERAL LIBRARY 11/86
BIBLIOGRAPHIC DATABASE MANAGEMENT DEPT.

One year ago, the UNMGL divided the Bibliographic Control Department into two separate departments: Monographic Cataloging and Bibliographic Database Management. The Serials Department was and still is a separate department consisting of serials acquisitions, serials checklist and serials cataloging.

The Bibliographic Database Management Dept. (BDM) consists of four units: Automated Processing, Catalog Records, File Maintenance and Retrospective Conversion.

Staffing and General Responsibilities:

Automated Processing was created in 1982 when the DataPhase ALIS II circulation system was implemented. Clerks from the cataloging teams were moved to a centralized area in technical services where DataPhase terminals were installed, near the OCLC terminals. The clerks were responsible for producing catalog cards on OCLC for Library of Congress and CIP records and had previously been supervised by a cataloging team leader (librarian). A new Automated Processing Librarian was hired and the clerks were trained to perform bibliographic and item maintenance functions on DataPhase in addition to the OCLC work. A library-wide job evaluation resulted in the upgrade of these positions from Clerical Specialist IV (grade 4) to OCLC Specialist (grade 8). The supervisor is presently a Library Specialist (FTE), and there are 4.5 FTE OCLC Specialists, and two .5 FTE Library Technical Assistant I.

Catalog Records consists of 1 FTE Library Specialist (supervisor), 1 FTE OCLC Specialist, 1 FTE Library Technical Assistant I, and .5 FTE Clerical Specialist II. In addition there are several student employees. This unit maintains the shelflist, filing shelflist cards, adding and withdrawing titles, copies/volumes. They are also the quality control unit for proofing catalog cards that come from OCLC. When errors are detected, they correct the cards and the DataPhase (ALIS II) database record.

File Maintenance is responsible for filing all catalog cards into the public catalog until such time as the catalog is closed. Currently the supervisor is a .5 FTE Library Specialist. There are four .5 FTE Library Clerks and four student employees.

Retrospective Conversion consists of 1 FTE Library Technical Assistant III, four .5 FTE OCLC Specialists (Library Technical Assistant II), and two .5 FTE Library Clerks. They work mostly afternoons and evenings, taking advantage of non-prime time OCLC rates at 3PM to 8PM.

Conversion priorities are of two kinds: 1) Call number blocks identified as titles that will be moved to the two new branch libraries--one of which will not have a card catalog and will use DataPhase until an online catalog is purchased and installed. 2) Titles that have circulated and have had a temporary item record entered into the DataPhase system by circulation staff. Circulation periodically prints lists of temporary item records which are used to pull shelflist cards for retrospective conversion.

Work Flow:

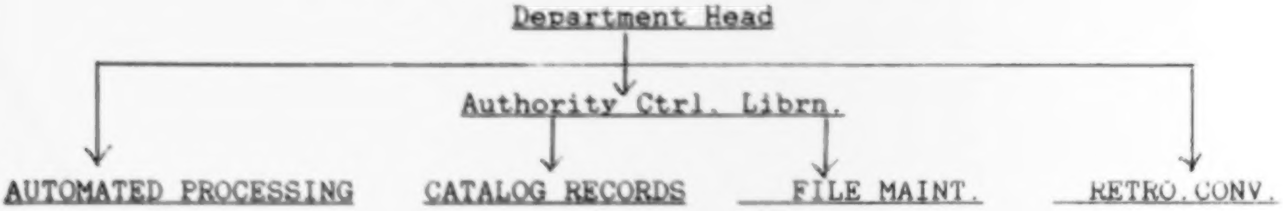
Books coming from acquisitions are separated into three categories: 1) 050 or CIP (DLC/DLC in the 040 field); 2) 090 or no copy available from OCLC; 3) Spanish and Portuguese books. Acquisitions has printed the OCLC record to send with the book when 050 or CIP OCLC record is found. Material with 090 copy, no OCLC copy and Spanish or Portuguese books are sent to the Monographic Cataloging Dept.

Automated Processing staff edit the print of the 050/CIP record at their desks. Authority work is done on series headings only. It is assumed that Descr:a in the fixed field means that name headings are in AACRII form. Series, however, need to be checked for local treatment and edited when necessary.

The edited prints (with the books) are exchanged between OCLC Specialists and spot checked for errors. The person who did the original editing is the one who takes the books to OCLC and produces cards. The procedure for producing 050 records on OCLC is attached.

Books are placed on a book truck for that day's production. Spine labels are typed the following morning and the books sent to be shelved. A three-part order record card which contains the call number and the date of production is distributed thusly: A copy is matched against the spine labels to check accuracy of labels and later matched against OCLC cards, one copy is filed as a temporary shelflist and the third is sent to acquisitions to complete the in-process acquisition record.

BIBLIOGRAPHIC DATABASE MANAGEMENT DEPARTMENT



AUTOMATED PROCESSING	CATALOG RECORDS	FILE MAINT.	RETRO.CONV.
Library Specialist (1 FTE)	Library Specialist (1 FTE)	Library Spec. (.5 FTE)	LTA III (1 FTE)
OCLC Specialist (4.5 FTE)	OCLC Specialist (1 FTE)	LTA II (1 FTE)	OCLC Specialist (2 FTE)
LTA I (1 FTE)	LTA I (1 FTE)	LC II (1.5 FTE)	LC II (1 FTE)
		CS II (.5 FTE)	

Note: The Authority Control Librarian position is currently vacant. This person will be responsible for developing authority control procedures as related to an online catalog (temporarily DataPhase) and will restructure the workflow that currently involves proofreading catalog cards and in the future will rely on unprecedented headings reports from an automated system.

UNIVERSITY OF NEW MEXICO
MONOGRAPHIC CATALOGING AND CLASSIFICATION DEPARTMENT

The Monographic Cataloging and Clasification Department, responsible for cataloging monographs for which no USMARC-LC copy can be found on OCLC, is currently divided into three teams. The Ibero-American Team, catalogs monographs in Spanish, Portuguese, Latin American Indian and other Iberian languages. The Fine Arts Team, catalogs books on art and music, exhibition catalogs, music scores and revises catalogings prepared by a Library Specialist in the Fine Arts Library for sound recordings. The General Cataloging Team is responsible for cataloging all other monographs handled by the department, as well as state documents, books and audio-visual media sent to the Learning Materials Center, microfiche and film, computer programs, and realia. The revision of manuscript cataloging prepared in the Special Collections Department is handled by a cataloger in the department. Each team consists of a librarian Team Leader who supervises the activities of the team. All but the Fine Arts Team have one or more librarian catalogers, and all have two or more Library Specialists, and at least a half-time Library Technical Assistant II (LTAII). The General and Ibero teams have student help. The Library Specialist is a paraprofessional whose credentials should include a college degree, possibly a graduate degree in a subject specialty, or a combination of education and experience. This position resulted from an upgrade following an class evaluation which showed that the job complexity exceeded the parameters of LTAII.

Books arriving in the department are distributed among the three teams. With the exception of books destined for the Ibero Team, all have been searched on OCLC. Ibero's books are searched upon arrival by the team's student assistants (usually graduate students). Each team has its own system of storing the backlog. The Fine Arts Team is usually current with its cataloging, the Ibero Team shelves its copy cataloging backlog by classification number, while the General Team stores its copy cataloging backlog by title. Each method has its roots in the nature of the backlog and team preference, the underlying motive being the ability to find a requested title for rush cataloging.

On each team, library specialists and librarians prepare member-input copy for production on OCLC. Generally, only rare books or especially difficult copy are handled by librarians. However, when the 090 backlog gets out of hand, everyone pitches in. An LTAII on the General Team prepares and produces CIP records.

090/MEMBER INPUT RECORDS

All records are checked for accuracy. The copy should match the book exactly, the assigned call number and subject headings should reflect the book's content (or series in the case of analytics), the main and added entries should be in AACR2 form, and the series should conform to, or be adjusted to match, the library's Series Authority File. When cross references are needed, a name authority card is prepared, and when a new series appears, a Series Authority Card is made. Call numbers and subject headings are checked in the LC classification schedules and the Library of Congress Subject Headings respectively. All records are checked for correct descriptive cataloging and tagging. There is currently no policy requiring the updating of 090/member input description to AACR2, and individual catalogers vary in their preferences. Other adjustments include the appropriate 049's for branch libraries and the inclusion of an OCR number for the online Circulation System. All corrections or additions are prepared in advance by the Library Specialist or Librarian who then produces the record on OCLC. In the past some teams have preferred exchanging edited copy prior to card production. Revision of editing takes place during the training period which varies according to the abilities and experience of the librarian or library specialist. Errors found when the catalog cards arrive are sent to the producer for correction or as information. Most corrections are handled by the Catalog Records section of Bibliographic Database Management.

CIP RECORDS

CIP's are searched again immediately prior to preparation to avoid unnecessary work for records which have been replaced by LC. When the CIP cataloging has been found to be unreplaced, it is put in save to avoid additional searching charges. At this point all names are searched in the online Name Authority File for conformity to AACR2. The LTAII edits the records at her desk, checking for correct title and author statements, imprint information, collation, and names in AACR2 form. Name or series authority work is done if it is needed. Subjects not tagged 650 0 are checked in the Library of Congress Subject Headings for accuracy and adjusted if necessary. Call number cutters are completed and OCR numbers are entered in the 949 field. CIP records are edited and produced on the OCLC terminal by the LTAII.

THE FUTURE

The above structure, which has been in place for many years, is under review. Portions of the backlog have grown unevenly, and greater flexibility may be required if materials are to move quickly through the department. The Library Specialists have been learning original cataloging. This training has resulted in considerable growth of the 090/member input backlog on the General Team. Since the Ibero Team's backlog consists mostly of books requiring original cataloging, more help is needed with this category.

UNIVERSITY OF NEW MEXICO 11/86

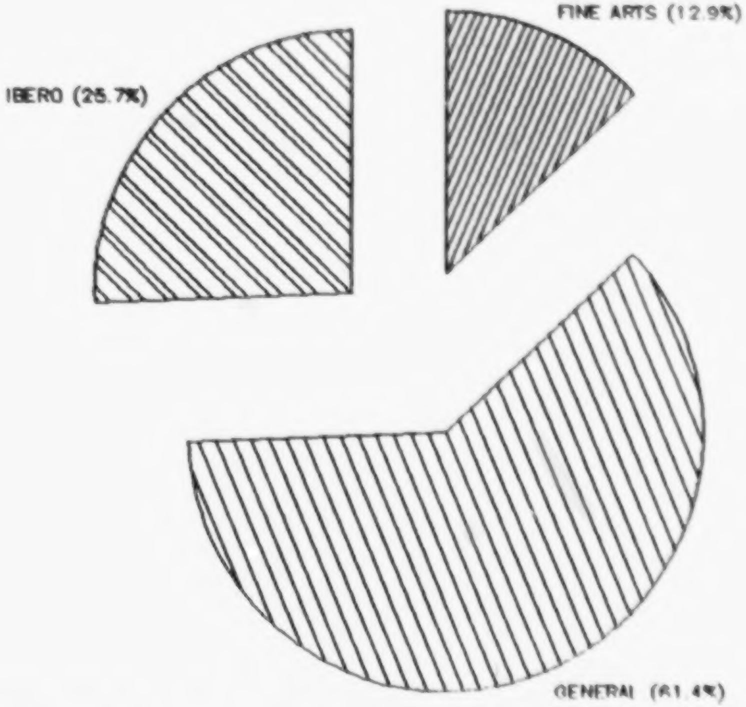
MONOGRAPHIC CATALOGING AND CLASSIFICATION DEPARTMENT
STATISTICS--NEW TITLES CATALOGED 1985/86

TEAM	ORIGINAL	*090	CIP'S	LC	NON ROMAN	TOTAL
FINE ARTS	611	1550	125	223	0	2509
GENERAL	1501	5383	3905	855	271	11915
IBERO	1531	3367	0	85	0	4983
TOTAL	3643	10300	4030	1163	271	19407

COMPARED WITH LAST TWO YEARS (1983/84-1984/85 TOTALS)

TEAM	*1983/84	*1984/85	*1985/86
FINE ARTS	4061	2537	2509
GENERAL	13779	12452	11915
IBERO	5146	5430	4983
TOTALS	22986	20419	19407

NEW TITLES CATALOGED 1985/86



Prepared by P. Fairchild

ANNUAL REPORT 1986
CATALOGING DEPARTMENT

BACKLOG SUMMARY (TITLES)

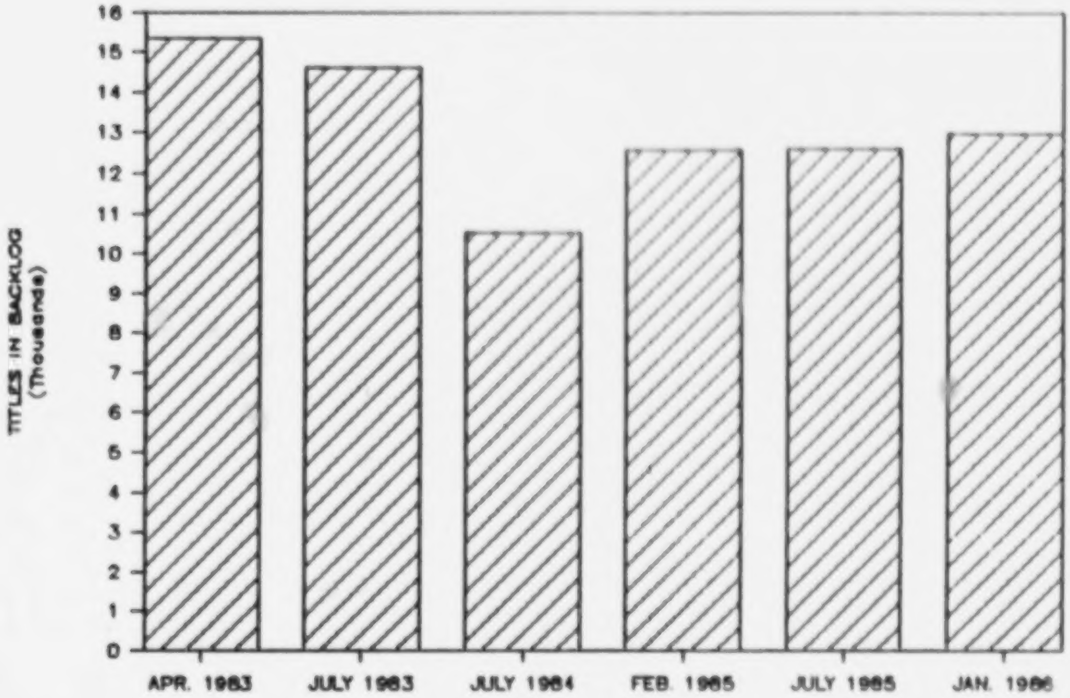
JULY 1, 1985		JANUARY 15, 1986	
FINE ARTS	1010	FINE ARTS	958
GENERAL	6058	GENERAL	6563
IBERO	5548	IBERO	5447
TOTAL	12616	TOTAL	12968

COMPARED WITH LAST 2 YEARS (1983/84-1984/85)

FEB. 1985		JULY 1984	
FINE ARTS	832	FINE ARTS	572
GENERAL	5957	GENERAL	4596
IBERO	5797	IBERO	5364
TOTAL	12586	TOTAL	10532

APRIL 1983		JULY 1983	
FINE ARTS	2123	FINE ARTS	2045
GENERAL	7140	GENERAL	6541
IBERO	6069	IBERO	6030
TOTAL	15332	TOTAL	14616

BACKLOG: APRIL 1983--JANUARY 1986



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UNIVERSITY OF NEW MEXICO

MONOGRAPHIC CATALOGING DEPARTMENT

DEPT. HEAD
C. Sugnet
Faculty
*277-7157

11/86

FINE ARTS
*(Art books and exhibition
catalog, music scores
*277-7163

Don Foster, Team leader,
faculty, F/T

Donald Johnson, LS, F/T
Patricia Fairchild, LS, F/T
Elizabeth Lackman, LTA II, P/T

****

GENERAL
*(Bulk of material, AV, Rare,
Gov. Docs., Thesis)
*277-7162

*(vacant), Team leader,
faculty, F/T

Claire Bensinger, faculty, F/T
Sidney Yen, faculty, F/T
Theresa Armijo, LS, F/T
John Marr, LS, F/T
Jim Stuber, LS, F/T
Roger Squires, LS, F/T
Prescilla Sanchez, LTA II, F/T

****

IBERO
*(Spanish and Portugese)
*277-7161

Gayle Williams, Acting Team leader,
faculty, F/T

Sharon Moynahan, faculty, P/T
Fernando Pallares, LS, F/T
Yolanda Olivas, LS, F/T
Celina Sanchez, LS, F/T
Aida Gerdes, LTA II, P/T

****

University of North Carolina at Chapel Hill

Workflow

Incoming receipts are routinely divided by the Library Assistants into two (2) groups:

1. Pre-order search identified 050 or MARC copy, plus approval plan materials and Standing Order materials.
2. Pre-order identified "no copy", 090 copy or other copy items.

Group 1 materials are taken to the OCLC termainsl and cataloged, with the majority of authority work (personl name, corporate name and series) verified after cataloging. Call number verification is also performed after cataloging, as temporary shelflists are batched after cataloging and filed into the shelflist by student assistants.

Group 2 materials are searched on the OCLC terminals at night and on weekends by Student Assistants who work unsupervised on the Student Search Project. Materials are identified by the students as either having usable copy (MARC or non-UKMARC 050) or as not having usable copy. Materials with no usable copy is further subdivided into two (2) groups :

1. Imprints of 1977 or later are backlogged for further searching and re-cycling
2. Imprints before 1977 are then sub-divided by language, subject, type and/or ultimate location and then routed to Adaptive, Original, Slavic, Latin American Iberian, or Serials Cataloging Section. Materials may then be returned by any of these sections for subsequent backlogging.

PRIORITIES:

QUICK cataloging
RUSH cataloging
Pre-identified 050 or MARC copy
New 050 copy identified via the Student Search Project
050s identified by Student Assistants or Library Assistants while searching the Conrtol File for the Backlog Re-search Project
Older imprint (pre-1978) materials (unless requested as RUSH or QUICK cataloging)
Online reclassification for problem-solving
Manual cataloging of Hebrew, Arabic, and Greek, or other non-roman, non-Cyrillic languages

Training

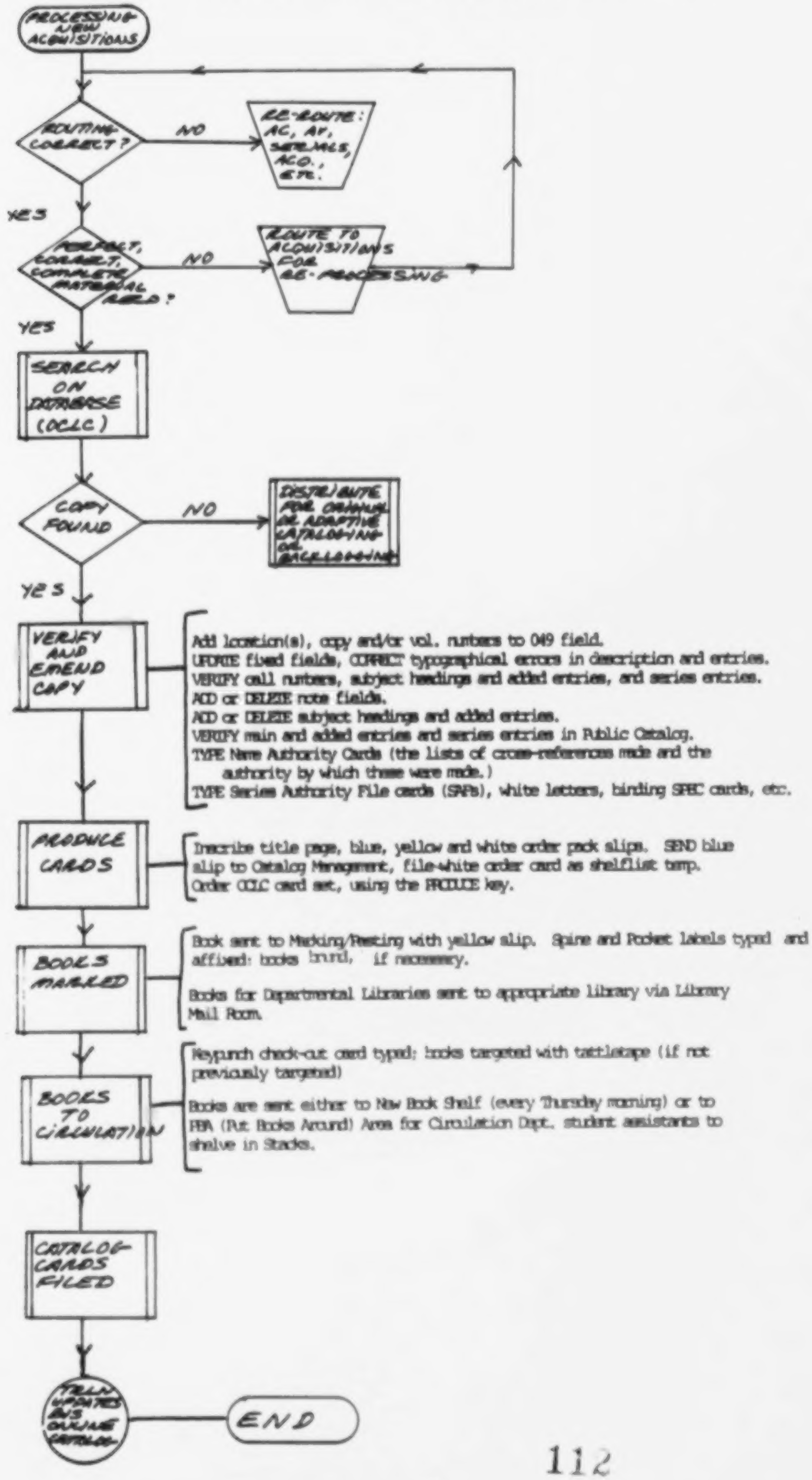
The formal training program for copy catalogers is conducted by the Assistant Unit Head and procedes from a general work-flow overview (Catalog Deparmtent backlogs management, Unit/Department workflows, and the locations(s) of various internal Techincal Service Files) to specific cataloging techniques:

1. Single copy monographs not in series
2. Multiple copy monographs not in series
3. Items in publishers' series
4. Items in AACR-2 established series where there is no conflict between current cataloging copy and current local practice (Cl. sep. series)
5. Multi-part items (sets)
6. Multi-part items (sets) classed as a collection, with full analysis
7. Items in an AACR-2 established series where local practice is still in an earlier form in local catlogs and/or files and changes must be made (Class. sep. series)
8. Classed together and analyzed series on Standing order
9. Classed together and analyzed series, non-Standing order
10. Cataloging of older and/or adaptive materials
11. Making locally-established series decisions
12. Other advanced and adaptive catlaloging techniques

Our training documents include:

1. A 60 page preliminary checklist for cataloging and routing
2. A 10 page "Refinements of Copy Cataloging" document
3. A 16 page "Refinement of Routing" document
4. A 44 page "AACR 2 Local Guidesheets" document, plus an 8 page addendum for copy catalogers
5. Plus 8 manilla folders illustrating Series/Serials examples and other in-house manuals for more advanced training

The library has only an annual performance evaluation for all employees and a final evaluation for all terminating employees (including part-time and student assistant employees).


PROCESSING NEW ACQUISITIONS
ROUTING CORRECT?
NO
RE-ROUTE: AC, AV, SERIALS, ACQ., ETC.
YES
PERFECT, CORRECT, COMPLETE MATERIAL REC'D?
NO
ROUTE TO ACQUISITIONS FOR RE-PROCESSING
YES
SEARCH ON DATABASE (OCLC)
COPY FOUND
NO
DISTRIBUTE FOR ORIGINAL OR ADAPTIVE CATALOGING OR BACKLOGGING
YES
VERIFY AND EMEND COPY
PRODUCE CARDS
BOOKS MARKED
BOOKS TO CIRCULATION
CATALOG CARDS FILED
TRLN UPDATES ITS ONLINE CATALOG
END

Add location(s), copy and/or vol. numbers to 049 field.
UPDATE fixed fields, CORRECT typographical errors in description and entries.
VERIFY call numbers, subject headings and added entries, and series entries.
ADD or DELETE note fields.
ADD or DELETE subject headings and added entries.
VERIFY main and added entries and series entries in Public Catalog.
TYPE Name Authority Cards (the lists of cross-references made and the authority by which these were made.)
TYPE Series Authority File cards (SAFs), white letters, binding SPEC cards, etc.

Inscribe title page, blue, yellow and white order pack slips. SEND blue slip to Catalog Management, file-white order card as shelflist temp.
Order OCLC card set, using the PRODUCE key.

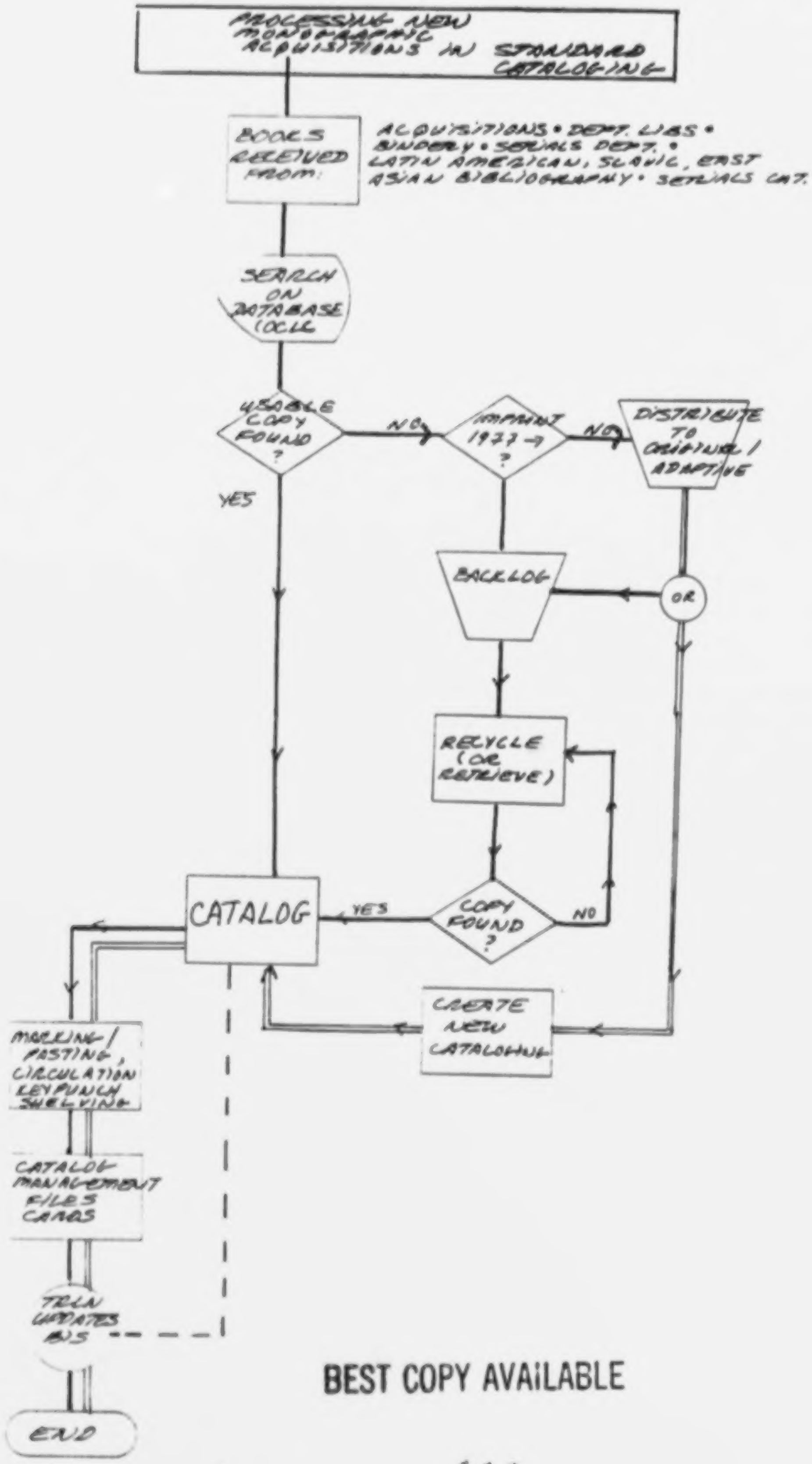
Book sent to Marking/Pasting with yellow slip. Spine and Pocket labels typed and affixed: books bound, if necessary.

Books for Departmental Libraries sent to appropriate library via Library Mail Room.

Keypunch check-out card typed; books targeted with tattletape (if not previously targeted)

Books are sent either to New Book Shelf (every Thursday morning) or to PBA (Put Books Around) Area for Circulation Dept. student assistants to shelve in Stacks.

UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL


PROCESSING NEW MONOGRAPHIC ACQUISITIONS IN STANDARD CATALOGING
BOOKS RECEIVED FROM:
ACQUISITIONS • DEPT. LIBS • BINDERY • SERIALS DEPT. • LATIN AMERICAN, SLAVIC, EAST ASIAN BIBLIOGRAPHY • SERIALS CAT.
SEARCH ON DATABASE (OCLC
USABLE COPY FOUND ?
NO
YES
IMPRINT 1977 → ?
NO
DISTRIBUTE TO ORIGINAL / ADAPTIVE
BACKLOG
OR
RECYCLE (OR RETRIEVE)
COPY FOUND ?
YES
NO
CATALOG
CREATE NEW CATALOGING
MARKING / PASTING, CIRCULATION KEYPUNCH SHELVING
CATALOG MANAGEMENT FILES CARDS
TRLN UPDATES BIS
END

BEST COPY AVAILABLE

Quality Control

The Unit Head is a former serials cataloger. Consequently, the copy cataloging unit is responsible for changing locally existing pre-AACR 2 series entries to LC-established AACR 2 series headings, for locally establishing the AACR 2 choice and form of series, for preparing appropriate authority work, and for designating changes to be made to internal files (i.e., public card catalog, series authority file, serials Kardex, serials fiche, etc.)

Additonally, this unit has specific responsibilities for authority verification of Slavic-language personal and corporate name headings and also usually performs some authority verification for these access points in other languages.

Appropriateness, completeness and ultimate location of mateirals, etc. is reviewed by copy catalogers before items are cataloged (e.g.: duplicates, extraneous or missing material(s), defective copies are routed back to the Acquisitions Dept.; verifications for the ultimate disposition of materials are routed back to bibliographers in Collection Developemnt).

When the database copy is for the edition in hand, copy catalogers routinely verify all fixed and variable fields, making necessary changes/additions to OCLC records to accomodate:

1. Typographical errors in full or CIP cataloging
2. Changes in CIP, including access points, title, and/or call number
3. Call number changes for typos or errors in classification or tagging, or changes to accomodate local practices
4. Additional, or fewer, or upgraded access points
5. Necessary modernizations

The shelflist filers for the copy cataloging temporary shelflist cards is instructed that temporary cards may be filed if:

1. The general subject area is compatible for the card in hand
2. There is no conflict among editions
3. There is no conflict with a different book having the same call number

but that they may not add a temp to a non-existent, never-before-used classification (i.e., there are no other representative records present). Such "class numbers" must be reviewed by the Library Assistants, Assistant Unit Head, or Unit Head.

The permanent shelflist for each cataloged item is returned to the Unit Head for proofreading. General overall review includes: checking for typographical errors, appropriateness of classification number, veracity of access points, need for additional access points (e.g., spelled-out or numerical title added entries, linking entries, modernized headings, etc.) Post-cataloging authority verification is also done at this time. The permanent shelflists are then returned to Catalog Management for filing.

Book inscriptions are reviewed by Marking/Pasting Section and then again by the Circulation Department and the Circulation Deptartment chelvers.

Catalog entries, shelflist cards, holdings, etc. are reviewed in the normal work process by Catalog Management.

Tagging, coding, and holdings data are verified by the BIS local online catalog.

The Catalog Department Backlogs and the Control File

Standard Cataloging is charged with the organization, maintenance and the security of the Catalog Department backlogs now housed in Davis Library. Materials are arranged on the shelves in a type of numerical accession system and a white order card for each title is filed, by modified title arrangement, in one of the files known as the Control File. Green-tabbed file drawers are for Cyrillic materials; blue-tabbed file drawers are colloquially known as the "non-Cyrillic Control File" but, in actuality, contain roman languages, plus Hebrew, Greek, and Arabic. East Asian language materials, however, are retained in a separate backlog with a separate control system under the direction of the East Asian cataloger.

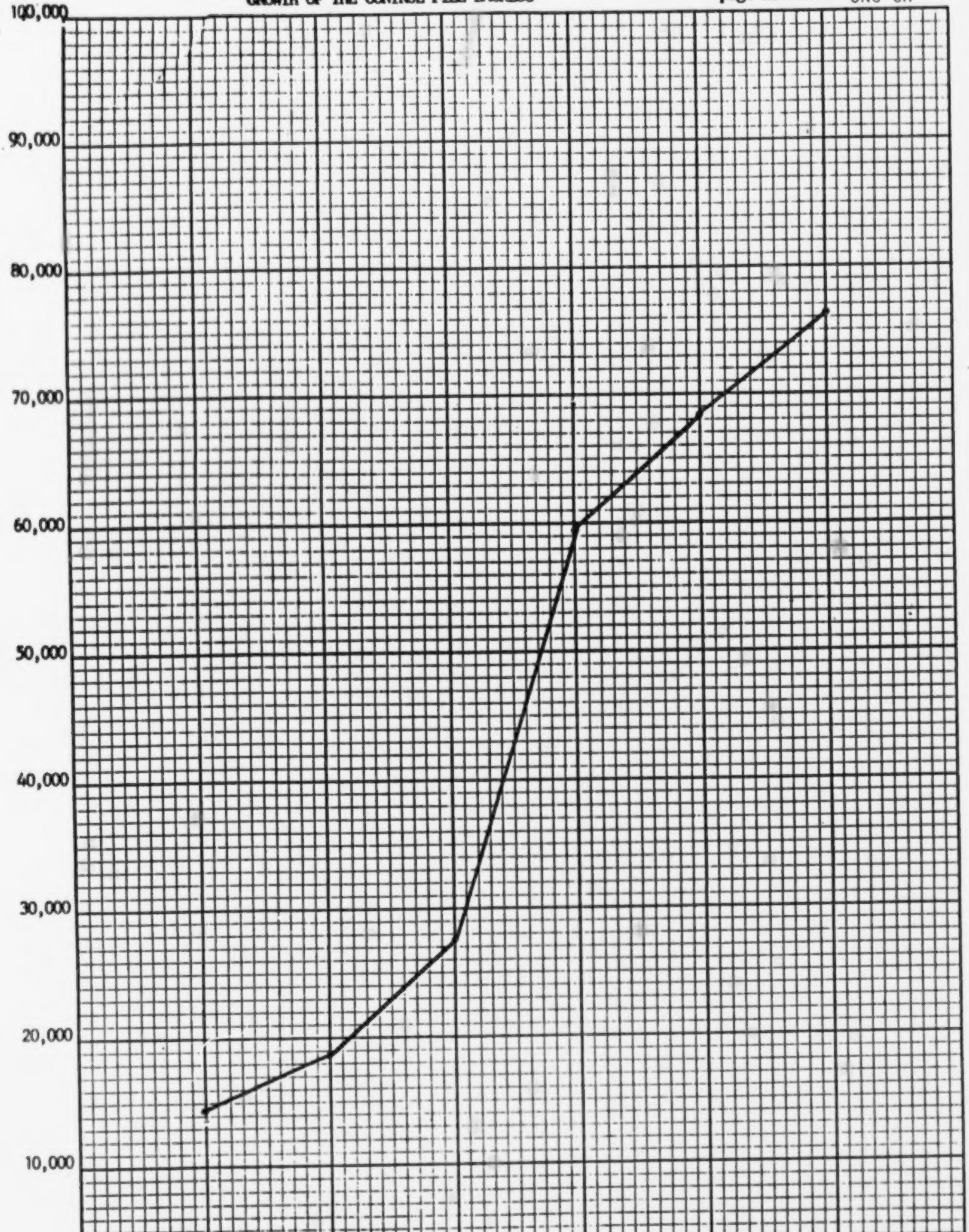
Cards found in the Control File include LC depository cards, cross-references, and white order cards. White order cards represent titles which are the responsibility of either Standard Cataloging or Original/Adaptive Cataloging. Cards marked with a green stripe in the upper right-hand corner are the responsibility of the Original/Adaptive Cataloging Section. White order cards with no markings or with an orange (or red) "X" in the upper right-hand corner are the responsibility of Standard Cataloging.

The Control File is generally re-cycled completely every 18 to 24 months. White order cards are searched against the OCLC database in an effort to discover usable copy. Books which do have usable copy are removed from the shelves and cataloged along with new receipts.

The current estimate of the backlog is 85,000 volumes.

Updated 9/23/86

GROWTH OF THE CONTROL FILE BACKLOG



Technical Services Information Bulletin

Academic Affairs Library

University of North Carolina at Chapel Hill

Volume 2, Number 2 (March/April 1984)

Editor, Janet L. Flowers
Head/Acquisitions

Typist, Liza Renn

Interdivisional Forum

May 2, 1984

2:00 p.m.

Conference Rooms A & B

Davis Library

THE CATALOGING BACKLOG

> "I don't really know what a Gorgon is like, but I am quite sure that Lady Bracknell is one. In any case, she is a monster, without being a myth, which is rather unfair . . ."
>
> Oscar Wilde, The Importance of Being Earnest

If one imagines Lady Bracknell as a collection of nearly 60,000 volumes known as The Backlog, then the import of our epigraph becomes clear. But even then, it is not quite accurate. For it is the myth of the backlog which has become monstrous; the actuality is really quite tame, and provides many hours of innocent amusement for the Standard Cataloging student assistants. Nonetheless, questions on this subject abound. To expound the mysteries of the backlog and thus explode the myth - is the purpose of this article. What the backlog is, how it is organized, and what it is good for -- all of these questions shall be elucidated, and their secrets laid bare.

First, it is probably best to describe how a book gets into the backlog. Standard Cataloging backlogs books which have been published relatively recently (our cut-off date is currently 1977), but for which there is no available Library of Congress cataloging at the time the book is searched on OCLC in Standard. (An exception is made for certain kinds of books which it seems unlikely LC will ever catalog; these are sent directly to the appropriate original cataloger.) It is important to note that all the books in the backlog have been searched on the terminal at least once, and that exact match LC copy was not found. (Had exact match LC copy been found, these books would, of course, have been cataloged and not backlogged at all.) Nor do books, once in the backlog, languish in oblivion. The control file is periodically weeded, cards searched, and books with exact match LC copy pulled from the backlog for cataloging. In addition to this selective weeding, a blanket search of all titles in the control file has been undertaken on a fairly regular basis (every 18 months to 2 years), although as the backlog continues to increase in size and as the volume of incoming materials continues to exceed the efforts of the available staff, the possibility of completing this kind of comprehensive search grows proportionately more abstract.

The backlog, therefore, provides a necessary and easily-accesible holding area for books likely to be cataloged by the Library of Congress. The alternative to this backlog -- passing these books immediately on to original catalogers -- is, of course, neither efficient nor wise. Indeed, it has been reliably computed that the number of original catalogers needed to classify every book destined for the backlog would, if laid end-to-end, extend from the Davis Library nearly to Siler City. Not only would local cataloging of these books be a duplication of (eventual) LC effort, but conflicts resulting from possible discrepancies between call numbers or even choice and form of entries assigned here and those assigned by LC could well render our effort nugatory.

After books have been designated for the backlog, they are assigned a control number which is stamped on the searching slip (this stays with the book) and on the white card of the order pack (this is filed by title in the control file). This control number is a 7 or 8 digit sequence, the first four of which are year and month. Thus the number 8106101 would read year (1981), month (June), and sequence number (101). Markers divide the backlog into month/year sections; to find this book, one finds the June '81 marker and then finds the book with 101 as the final three digits of the control number. This is a fairly simple, though apparently not foolproof, procedure.

Some changes in backlog content and handling have taken place along with the move to Davis Library. The first change is that the old unprocessed backlog has been eliminated. This backlog, which had existed for about 24 months simultaneously with the processed backlog, consisted of books which had been culled from new receipts and indexed into a backlog without being searched online. Thanks to a concerted effort by the Standard Cats and, especially, by student assistants, all of the books in this backlog were processed in the normal manner prior to the move from Wilson. Another change is the consolidation of books from backlogs in Monographic Cataloging and LAIBC with the standard backlog prior to and during the move. This provides access to books hitherto unindexed. Books from these areas have been assigned arbitrary control numbers in the same way as books from Standard and the white cards from their order packs have been filed in the control file. Blue slips from these packs, however, have been returned to the appropriate section for filing. Catalogers who need books from their backlogs can cull blue slips from their file, match them with white cards from the control file, and have the books pulled from the backlog.

Another improvement in backlog management concurrent with the move to Davis is that the books are, finally, all in the same place. No more shifting; no more confusion over cages and keys. A drawback to the new arrangement, however, is that we are simply no longer as close to the backlog as we were in Wilson. Therefore, Standard has terminated its previous policy of on-the-spot, while-you-wait retrieval, except in the most urgent of circumstances. We offer, instead, twenty-four hour service. Patrons and staff who want books from the backlog are asked to fill out a form, designed by Lizette Reiter, which is then matched with the white card from the order file and placed in the backlog retrieval box. (These forms are to be found near Lizette's desk and on the shelf by the phone in Standard.) Books are then retrieved from the backlog by Standard Cats or Student Assistants. Remember, patrons seeking uncataloged material are asked to see Lizette Reiter in Monographic or any Standard Cat. A copy of the green slip from the order file is often necessary and always helpful.

Such is the backlog's purpose, organization, and handling -- its care and feeding. The myth of the constantly-growing monster, lurking in the bowels of Davis and constantly demanding sacrifices of virgin texts has, we hope, been demolished. This backlog is actually a rather tame monster, more of a pet, really. Every library should have one. And most do.

Fred Michael, Library Assistant
Standard Cataloging

STAFF CHANGES

Acquisitions

Gloria Rountree has joined us as the Assistant Invoice Expediter so Jean Lancaster is now performing her new duties as Claims Coordinator.

Dimitri Cozby has very recently assumed the position of Book Inspector, replacing David Owens who was promoted to a searching position.

Finally, Helen Miller who is our "Gifts Librarian" has just assumed the Chairmanship of the Gifts Sub-Committee. Please refer any questions or problems regarding gifts to Helen.

Serials

Tina Tibbitts has been hired as a Kardex Assistant (Section Rh-Z), replacing Lynn Flowers.

Catalog Department

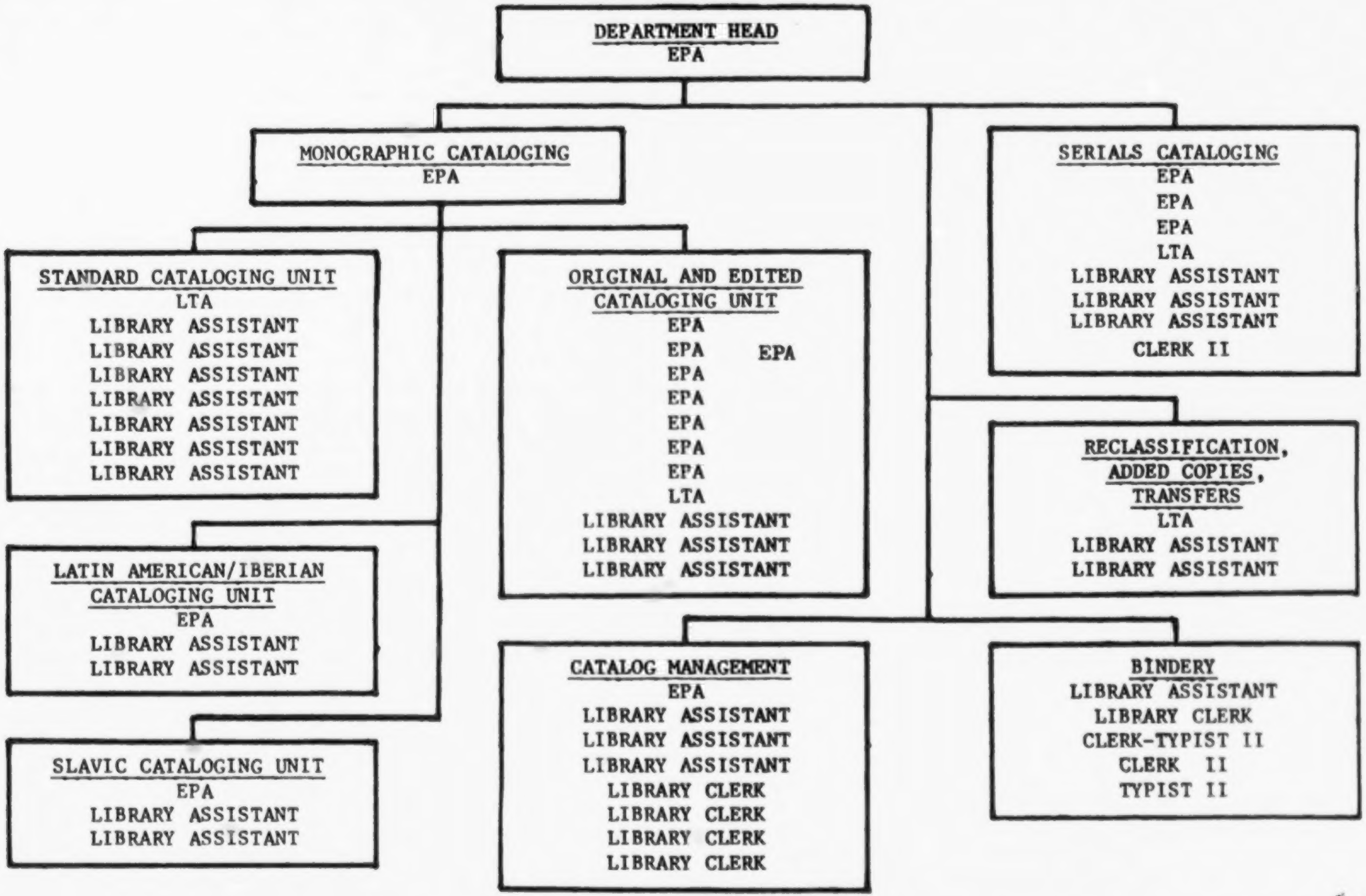
Gail Drey has joined Serials Cataloging as a clerk. Nancy White predicts that within the next year, poor Gail will re-mark one half mile of 800 and 900's.

Nanette Gover is the new Library Assistant in Serials Cataloging. She does adaptive/descriptive cataloging of serials.

UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL
ACADEMIC AFFAIRS LIBRARY
CATALOG DEPARTMENT

Effective February 1984

(revised 11/86)


DEPARTMENT HEAD
EPA
MONOGRAPHIC CATALOGING
EPA
STANDARD CATALOGING UNIT
LTA
LIBRARY ASSISTANT
LIBRARY ASSISTANT
LIBRARY ASSISTANT
LIBRARY ASSISTANT
LIBRARY ASSISTANT
LIBRARY ASSISTANT
LIBRARY ASSISTANT
LATIN AMERICAN/IBERIAN CATALOGING UNIT
EPA
LIBRARY ASSISTANT
LIBRARY ASSISTANT
SLAVIC CATALOGING UNIT
EPA
LIBRARY ASSISTANT
LIBRARY ASSISTANT
ORIGINAL AND EDITED CATALOGING UNIT
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LIBRARY ASSISTANT
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LIBRARY ASSISTANT
SERIALS CATALOGING
EPA
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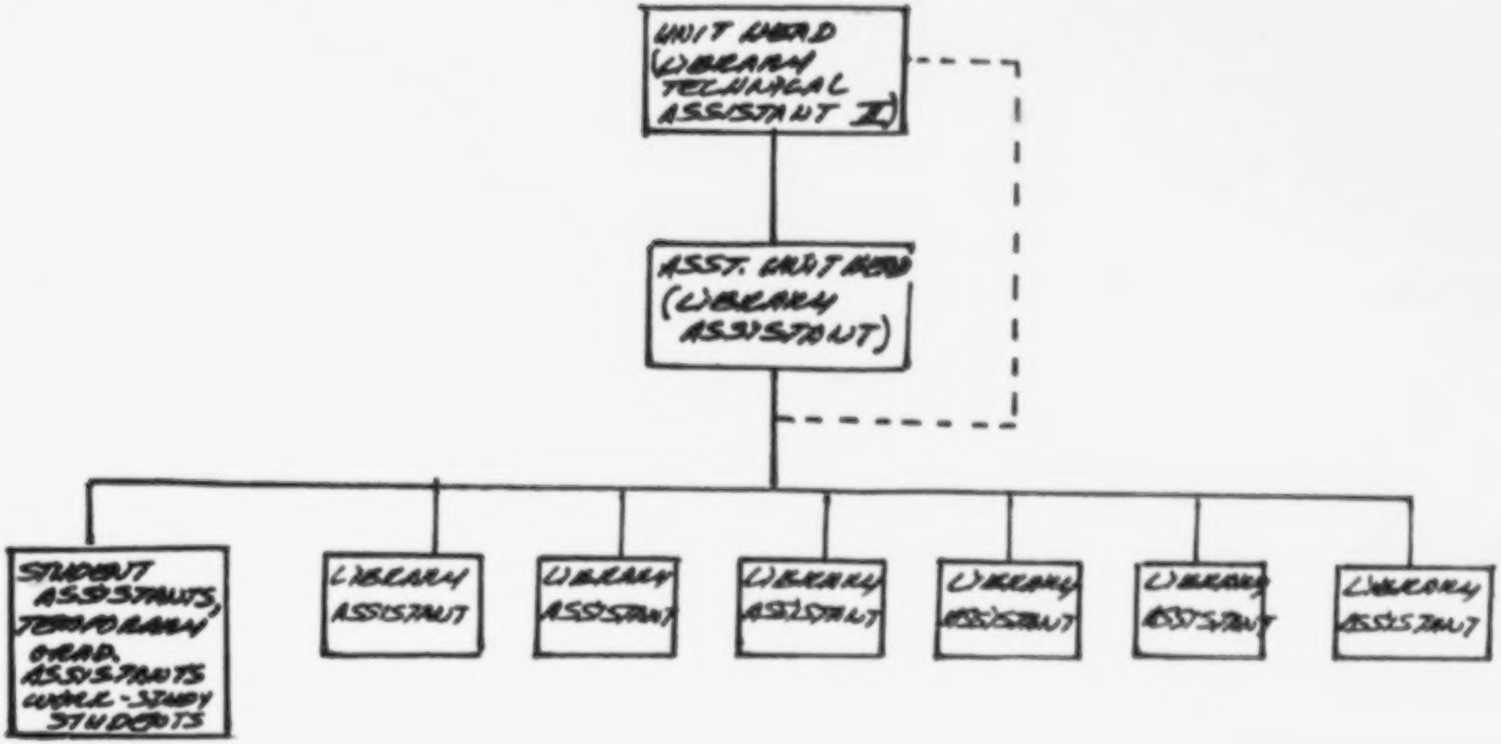
LTA
LIBRARY ASSISTANT
LIBRARY ASSISTANT
LIBRARY ASSISTANT
CLERK II
RECLASSIFICATION, ADDED COPIES, TRANSFERS
LTA
LIBRARY ASSISTANT
LIBRARY ASSISTANT
CATALOG MANAGEMENT
EPA
LIBRARY ASSISTANT
LIBRARY ASSISTANT
LIBRARY ASSISTANT
LIBRARY CLERK
LIBRARY CLERK
LIBRARY CLERK
LIBRARY CLERK
BINDERY
LIBRARY ASSISTANT
LIBRARY CLERK
CLERK-TYPIST II
CLERK II
TYPIST II

NOTES: The Head of the Monographic Cataloging Section is Assistant Department Head. The staff includes 52 positions; 16 EPA and 36 SPA. For three years beginning October 1983 there is one additional EPA and one additional SPA (Library Assistant) working on a project associated with Latin American/Iberian Cataloging who are not indicated in the diagram.

STANDARD CATALOGING UNIT


UNIT HEAD (LIBRARY TECHNICAL ASSISTANT I)
ASST. UNIT HEAD (LIBRARY ASSISTANT)
STUDENT ASSISTANTS, TEMPORARY GRAD. ASSISTANTS WORK-STUDY STUDENTS
LIBRARY ASSISTANT
LIBRARY ASSISTANT
LIBRARY ASSISTANT
LIBRARY ASSISTANT
LIBRARY ASSISTANT
LIBRARY ASSISTANT

UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL

UNIVERSITY OF PENNSYLVANIA

Oct. 1, 1986

A note about the "Search/Cat" process

We invented this workflow routine as part of an effort to increase productivity and reduce the backlog. The following facts were the basis of this invention:

1. Job descriptions for library support staff are defined strictly. Only B.A.s can do bibliographic searching. Clerks in cataloging must be provided with the RLIN record that is to be used for cataloging.

2. We use both RLIN acquisitions and cataloging subsystems. For many new acquisitions, we derive the order form the same RLIN record that we will eventually use for cataloging. The search that identified this record was the pre-order search, and we were repeating the search in pre-catalog searching. The decision on whether the copy matched the book was being made in acquisitions, pre-catalog searching and cataloging. We wanted to eliminate the duplication of effort, particularly for books that would be cataloged using the same RLIN record that acquisitions used to set up their record on RLIN.

3. The RLIN cluster is the key to the Search/Cat workflow. Our acquisitions record is there, along with a catalog record that we can use. A bibliographic search is not required. It is simple to retrieve our acquisitions record and use for cataloging a record that is in the same cluster. Only a B.A. may search, but a clerk can retrieve a known item.

4. Experimentation showed that this process works best for English and American trade publications. Other materials are more likely to be ordered with less-than-perfect bibliographic descriptions; hence the RLIN clusters form less dependably and though the clerks may be searching a known item, they cannot retrieve the catalog record in the same cluster.

UNIVERSITY OF PENNSYLVANIA

REPORT ON SEARCH/CAT SURVEY

To evaluate the new Search/Cat procedure, we checked the imprints of the books that could be cataloged by retrieving a catalog record on the same cluster as our acquisition record and those that could not. Of the 431 titles that were processed under Search/Cat in September, the following resulted:

IMPRINTS	SUCCESS RATE
United States	70%
England	56%
Germany	20%
Netherlands	20%
Other	22%

Based on these results, we modified our guidelines for selecting Search/Cat books from new acquisitions. Limiting the selection to trade publications from the U.S. and England, we found that our success rate for 202 books cataloged in the last two weeks was 81%.

CONCLUSION: The procedure that allows us to skip a thorough search and send the books through to Cataloging is appropriate for only certain categories of books. Detailed analysis of Search/Cat "failure" is the basis for the revised guidelines for selecting Search/Cat books. It is important to recognize that Search/Cat is a limited category, and not a majority of the books sent to Copy Cataloging. Inappropriate selections for the Search/Cat procedure complicate our workflow and inevitably slow down processing. Most books will be directed to Copy Cataloging through the regular Search/Print procedures, but Search/Cat is a definite work-saver if selections are made according to the following guidelines.

SEARCH/CAT GUIDELINES

Limit the Search/Cat procedure to trade publications from England and the United States. Trade publications are books published by companies whose chief purpose is the publication and distribution of books. Examples: Knopf, St. Martin's, Jonathan Cape, Allen & Unwin. University and scholarly presses are included in this category. Not all books published in the U.S. and England are appropriate for Search/Cat (see list below). Except for pre-MARC books, date of publication does not bear a clear relationship to success or failure in Search/Cat.

grj: c:\wpp rohdy II

DO NOT SELECT THE FOLLOWING FOR SEARCH/CAT

1.) books published outside the U.S. or England (Scotland, Ireland, Canada are not appropriate for Search/Cat). Some scholarly publishers have multiple imprints (e.g. Berlin; New York: Springer). Such books can be selected for Search/Cat, particularly if they have LC CIP or LCCNs on the back of the title page.

2.) Small press or vanity publications

3.) Publications of college or university departments, centers, institutes, etc.

4.) Paperback reissues of books originally published in hard cover (often identified by the series (e.g. Torchbook, Colophon, Phoenix)

5.) Government publications, including Congressional hearings and consultant reports.

6.) Art exhibition catalogs (often have very intricate compound imprints and distributors)

7.) Publications of associations (most ALA publications would be an exception)

8.) Pre-MARC publication date.

9.) Books lacking TPF (no acq. record in RLIN)

10.) Alternate numbers of all types, PZ, Z, analytics

11.) Anals. already designated as such (t.p. verso)

12.) LAW

13.) Multi-volume sets (complete or incomplete)

14.) Books that seem to be related to another book (updates, supplements, etc.)

15.) Distributor labels

16.) "Multiples" (more than 1 copy or location)

UNIVERSITY OF PENNSYLVANIA Draft 7/85

SEARCH/CAT PROCEDURE

1. Using the RLIN ID on the TPF, find its RLIN cluster.

   fin id ________/pri pri=primary

   The primary record in the cluster will appear, with additional members of the cluster listed below. The record whose ID appears at the top of the screen is the primary cluster member.

2. Examine the cluster display for PAUG records.

PAUG (a-)	acquisitions data only
PAUG (c-)	cataloging data only
PAUG (b-)	both acq. and cata data on the same record

   (The a,b,c codes apply to all libraries in the cluster.)

   PAUG b- and PAUG c- indicate an ADD. Note "Add" and return to searching

   More than one PAUG record of any type indicates a problem. Note "2 PAUG" and return to searching.

   If there is only one PAUG rocord, and it is an acq. record, proceed to Step 3.

3. Select a record to cataloging from the cluster.

   First choice: DCLC
   If no DCLC, then an acceptable Library (see list) cataloging record designated 9114 or 9118.

4. If there is no record that can be used for cataloging, return the book to searching. Note on TPF "no record"

5. Cat/Acq Interface

   dis paug/cop id ____________ dis=display
   fill in ID of cataloging record

   The exact procedure for this varies according to whether you are working with LC copy or member copy and whether the record chosen is the primary cluster member.
   The following examples show the commands in more detail.

ANNUAL REPORT

Shared Cataloging Department
1985/86

In July 1985, the copy cataloging section of the Cataloging Department consisted of eleven staff in pre-catalog searching, cataloging, and card preparation. One year later, in the reorganized Technical Services division, this group had become the Shared Cataloging Department, with eighteen full-time and one part-time staff. Margaret Rohdy, formerly Assistant Head, Cataloging Department, became Head of the Shared Cataloging Department. In October 1985, catalog editing was transferred from Original to Shared Cataloging, bringing its principal activity, post-cataloging authority work, closer to its source in the use of RLIN member cataloging copy. In January 1986, as the need for cataloging Japanese-language materials diminished, Midori Hayashi transferred from Original Cataloging to this department and began to learn the MARC format in order to code NUC and OCLC cataloging copy for RLIN input. Also in January, Greg Danyluk joined us, working twenty hours per week on pre-catalog searching and various catalog maintenance tasks. In the cataloging unit, the clerks' job responsibilities were redefined, with one clerk assuming responsibility for "Adds" cataloging (added copies, volumes, and locations) and the other clerks working exclusively with new titles. A vacant typist position was upgraded to clerk in the cataloging unit, and Heidi Rivel accepted the position in February. Panna Naik, on leave from catalog editing since September 1985, returned in June to a redefined position as a cataloging librarian. Her work includes editing complex copy from various sources and assigning call numbers where they are lacking on the shared cataloging copy.

Discussions continued through the winter and spring on the matter of Van Pelt Technical Services taking on the processing of materials for Lippincott Library. The decision was to move all monograph processing for Lippincott to Van Pelt, and to that end, one clerk and one bibliographic assistant position were added to Shared Cataloging. The actual move of personnel was scheduled for July 1, 1986.

The only departure from the department this year was a temporary one. In April Shirley Albergottie-Amoah began an extended sick leave and remains away as the year ends.

Besides the organizational changes and redefined job responsibilities cited above, the main events of the year in Shared Cataloging were:

1. Reducing the Backlog
2. The Stop-Filing Decision
3. Moving from NOTIS to PennLIN--the beginning.

We began our attack on the backlog in April 1985 and reported the beginning of progress in last year´s report. This year, with a 49.2 percent increase in titles cataloged, we have a very noticeable reduction in the number of books that await cataloging. The backlog is disappearing, as shown below:

Year of Receipt	Titles in Backlog April 15, 1985	Titles in Backlog June 30, 1986
1983	3376	------
1984	8250	965
1985	9446 (Jan.-Mar.)	4502 (Jan.-Dec.)
1986	----	4261 (Jan.-June)
TOTAL BACKLOG	21072	9728

The figures above represent books received in acquisitions and stored in the pre-cataloging delay shelves. PL480 acquisitions are a separate category. In April 1986, this backlog was estimated at 17,000 titles. During the early part of 1985/86, our priority was to clear the delay shelves, but by late spring, we began to catalog PL480 books, and at year´s end we had processed approximately 2000 titles. We expect to continue processing these at the rate of 500-1000 per month when cataloging copy is available.

This excellent progress in reducing the backlog has the immediate benefit of making more books available to readers, and it also has a beneficial effect on the cost of cataloging. We paid RLIN cataloging charges in advance this year, based on an estimate of what we could process. Exceeding our estimate does not drive costs up, but instead reduces the per title cost of cataloging.

There are several reasons for our success in reducing the backlog by over one-half in a year:

1. addition of one cataloging clerk to our staff.
2. emphasis on searching all books upon receipt and sending to the delay shelves only those for which no usable cataloging copy is found.
3. increasing the range of usable RLIN copy
4. making more use of RLIN copy that needs editing to conform to cataloging standards and local classification policy.
5. increasing clerks´ RLIN time from two to three hours per day.
6. cataloging most direct accessions as part of the pre-catalog search.

Our new policy of searching all books upon receipt is a major factor in reducing our backlog. Before 1986, only the new books thought to have copy were searched on receipt; the rest went directly to the delay shelves without a search. As we began searching the backlog, we noted the high proportion of copy that had been available when the book arrived; so we decided to put an emphasis on searching every book upon receipt. Of the approximately 15,000 new books received from January to June 1986, only 4261 remain in the backlog, and they are there because no usable cataloging copy could be found on the first search.

We know that there is more usable RLIN cataloging copy than we currently designate acceptable. This year, we more than doubled the number of libraries whose cataloging we accept as is. We treat these books as already cataloged, and our task is the relatively straightforward one of making sure we have the book described, checking the call number, and adding item information. This is the work of clerks and bibliographic assistants. However, not all RLIN cataloging copy is usable as is. It may be cataloging for a variant edition; it may lack a usable call number, subject headings, or other essential element. The item does not need full original cataloging but needs instead more or less complex editing. The B.A.s do some of this work, and with the addition of a cataloging librarian to our staff, we are able to do more.

In the coming year, we will replace the notion of an acceptable library for shared cataloging with criteria for an acceptable record regardless of source. This will be the final step in making maximum use of the cataloging available in the RLIN data base.

It seems reasonable to expect that we will be able to eliminate the backlog during the coming year. We will establish a regular pattern of searching books that did not have copy upon receipt. Thus we will keep to an absolute minimum the number of books in the delay shelves that could be cataloged because copy is available.

On May 30, 1986, the director's council decided that we would stop filing new cards in the Van Pelt catalog. The last cards filed were those produced on March 28, which corresponds to the end of our second RLIN snapshot tape, one of the building blocks of PennLIN. Stopping filing at that point avoids duplicate authority work with cards and the PennLIN data base loading process.

Implementing the stop filing decision fell primarily to the Shared Cataloging Department. The details of precisely how to go about not producing and filing cards required immediate instructions to staff and continue to occupy our attention as we wind down the card catalog in Van Pelt while continuing to produce cards for department libraries and do necessary maintenance in all catalogs. We hoped to save staff time for various PennLIN-related projects, but this was not an immediate result. The major impact of the decision was expected in catalog editing, but as the year ends, they are occupied with finishing various filing and filing-related tasks. Instead, we noted immediate impact of not filing on the card maintenance unit. Without heading revisions and cross references to type, they had time to process over 1000 added copies.

The end of filing also brought an end to post-cataloging authority work and the local cross reference card production system, CEOPS. At this writing, we are learning about authority control in the NOTIS system and planning its use in PennLIN. During the next year, the changes we expect in catalog maintenance and authority work will become a focus of activity for all of Technical Services as we build the PennLIN system.

PennLIN gradually became a reality during 1985/86. Training sessions with NOTIS staff, mapping RLIN data into PennLIN, helping IBM design a terminal for the ALA character set, and meeting with other NOTIS users at conferences stimulated our thinking about how PennLIN would fit into our workflow. This significant development of 1985/86 was not very visible to the department staff, but it promises to become more evident in the coming year as we begin to move processing activities from RLIN to PennLIN. For over ten years, the focus of cataloging has been on the bibliographic utilities. This is, in fact, what led to the development and growth of shared cataloging. We want to maintain the gains we have made in the use of shared cataloging and integrate the local catalog and authority file into our processing workflow.

1985/86 was a very good year in Shared Cataloging, and the staff deserve recognition for their accomplishment. A time of accelerated change is interesting, exciting, and full of promise, but it can also be unnerving, confusing, and difficult because there are not enough clear answers for all the questions we have. In spite of these problems, the staff of Shared Cataloging used their considerable skills and knowledge to keep the books and the cards moving and to keep their perspective and good humor. This report ends with the credits and many thanks to those whose excellent work is described above.

Shirley Albergottie-Amoah
Greg Danyluk
Mary Fitting
Megan Foley
Sue Garland
Ken Graitzer
Yvonne Harris
Midori Hayashi
Gail Johnson
Bill Jones
Barbara Kitamura
Jerry Leska
Pam Leska
John Light
Panna Naik
Heidi Rivel
Peter Sullivan

As the new year begins, we welcome Ted Bywalski and Audrey Wright, moving from Lippincott Technical Services to Shared Cataloging.

Margaret A. Rohdy

Margaret A. Rohdy
Head, Shared Cataloging Dept.

Shared Cataloging Department
Van Pelt Library
University of Pennsylvania

Department Head

Pre-Catalog Searching	Cataloging	Input and Card Maintenance	Catalog Editing
2 Bibliographic Assistants	6 New Titles Clerks	1 Senior Typist	1 Bibliographic Assistant
	1 Adds Clerk	1 Typist	1 Librarian II
	3 Bibliographic Assistants		1 Student .25 FTE
	1 Bibliographic Specialist		
	1 Librarian II		
	1 half-time employee		

Unit Descriptions

Pre-Catalog Searching: Searches RLIN data base and prints cataloging copy for new acquisitions. Routes books to catalogers according to level of work required. Manages "delay shelves" of books in-process; retrieves books as requested. Catalogs direct accessions, i.e., books not ordered on RLIN.

Cataloging: Produces RLIN catalog records based on LC and RLIN-member copy.

Input and Card Maintenance: RLIN input of original cataloging. Card correction and other data base maintenance.

Catalog Editing: Coordinates filing in public catalog and shelflist. Post-cataloging authority work for all shared cataloging. Card and RLIN data base maintenance.

UNIVERSITY OF WISCONSIN - MADISON

DRAFT DRAFT DRAFT DRAFT DRAFT DRAFT

TO: All catalogers June 23, 1985

FROM: Jennifer, Jean, Carol, Richard, Irene, Vicki and Jill

RE: Name authority procedures for copy cataloging

INTRODUCTION
We are proposing new procedures for name authority work. Two weeks ago, we started experimenting with procedues for name authority work in connection with the delayed authority cataloging in MARC as well as with serials and Slavic copy cataloging in the Catalog Dept. At this time we are proposing to extend new procedures to all copy cataloging.

PURPOSE
The purpose is to decrease the number of name headings which are routinely searched in the official catalog or in the online or microfiche LC name authority file. This is accomplished by searching only those name headings thought most likely to cause a conflict when the names are filed into the various catalogs. This does not mean the end of name heading control nor the blind acceptance of wrong headings. It does mean that certain selection criteria are used to make decisions about which names require searching.

In addition, the use of online authority files will play a critical role in the provision of see and see also references for the catalog. We will continue to link headings which have been used in different forms in the card catalog through the use of hand editing, interfile guide cards or see also references. However, for those see references and see also references linking different names altogether, we will depend on the LC name authority file as the source of LC references.

SEARCHING
At this time, it does not matter when you are searching name headings, before or after the catalog cards have been produced. Sort the names into two categories: search and do not search.

CATEGORY 1: SEARCH

1. Name headings with initials only in 245 =c subfield but name headings have intials plus full name in parentheses (A2 form).

2. Name heading established in different form than is shown in 245 =c subfield.

3. Name heading established without dates but likely to exist alreaoy in a form with dates (i.e., heading may have been established before 1980).

CATEGORY 2: DO NOT SEARCH

1. Name headings established in the same form as shown in the 245 =c subfield.

2. Name headings established in a fuller form than is shown in the 245 =c subfield (this fuller form should not include full names in parentheses).

3. Name headings established in the same form as shown in the 245 =c subfield WITH the addition of birth or death dates.

4. Unnumbered conference headings established in the same form as shown in the 245 or 500 fields.

We expect this list of criteria to expand as everyone identifies the reasons why and why not to search types of name headings. Both personal and corporate names on 050 and 090 headings are to be included in these new procedures. The idea is to use the name form found on the cataloging copy when possible. There are some cases which warrant changing the name form, e.g., it is wrong, it conflicts with the same name in the public catalog, or it conflicts with an LC name form.

AUTHORITY CARDS

Presently, authority cards are used to record the use of name headings and to record the use of interfile guide cards, see references and see also references. This will change significantly. Authority cards will no longer be used to record the use of a name heading. Evidence of use will be found in the public catalog, the OCLC bibliographic file, or in the near future, in the NLS data base. The LC name authority file will also provide the authoritative form of the heading although it will not actually tell us if GZM has used the heading. Control of interfile guide cards will also be done in the public catalog. Authority cards will continue to be used for the control of see and see also references when they are made.

CARRYING OUT THE RESULTS OF SEARCHING NAMES

After a name form has been searched in the public catalog, the LC name authority file, or both, one of two situations will result. One, no further work has to be done because the name does not create a conflict nor does it require cross references. Two, the name is a conflict or requires cross references. Conflicts are resolved in one of three ways: editing of existing names in the catalog, interfiling, or linking the variant forms through the use of see also references. Remember in this memo, we are discussing the procedures to be followed if you are searching at the time of cataloging. The procedures will vary only slightly when you are resolving problems found at the time of filing.

1. LINKING NAME FORMS WHICH VARY ONLY SLIGHTLY

There are two possibilities.

Hand edit the name headings on the cards in the public filed under that heading. Or, print/type an interfile guide card and file it in the correct place, moving the existing cards if necessary, in the public catalog. Interfile cards will not be filed in the official catalog.

Write down the locations which need to be notified.

Do not make an authority card.

2. LINKING NAME FORMS WHICH VARY CONSIDERABLY

Make an authority card (s) and add the see also references to it. Submit for cross reference typing in the usual manner, adding locations, etc.

3. PROVISION OF LC SEE (AND NACO SEE) REFERENCES

Do not make an authority card to record LC or NACO see references. (NACO see references are those sent to LC by us.) In anticipation of the online catalog and the loading of LC name authority files directly into the NLS system, we are discontinuing the automatic provision of LC see and see also references into the card catalog. When that load is accomplished, the LC see references will be automatically provided. Until then, we will depend on the LC name authority file as it is available on OCLC.

4. PROVISION OF LC SEE ALSO REFERENCES

Make an authority card to record the see also references and submit it for the typing of see also references in the usual manner. If possible, limit the see also references recorded to those which actually link a pre-A2 and A2 name form.

5. PROVISION OF LOCAL SEE AND SEE ALSO REFERENCES

Make an authority card to record the see and see also references and submit it for the typing of the references in the usual manner. Limit the references to those considered most necessary.

RESOLVING NAME FORM CONFLICTS WHEN FILING

When two names collide, hand edit the names in the catalog to the form being filed. If there are too many cards, then write the name down and turn in the name as a conflict. Often when the names are edited, an interfile guide card will be unnecessary. If deemed necessary, print/type the card and file it in the correct place, moving the cards as necessary so they file correctly under the new form.

When the names appearing on new catalog cards contain typographical errors, misspellings, etc., the cards should be pulled and turned in for editing as done presently. Those types of errors have to be corrected online to allow for proper filing in the online catalog.

The emphasis should be placed on handling as many editing problems at the public catalog as possible. Every time a card is pulled and handled by another person, the time spent on the editing process is increased. We want to strike a balance between what can be done most efficiently at the catalog and that which actually must be corrected in the online data base so we make good use of our time.

UNIVERSITY OF WISCONSIN - MADISON

TECHNICAL SERVICES TASK FORCE ON CONTROL & DELIVERY

RECOMMENDATION #1

Two of the major concerns leading to the formation of the Technical Services Task Force on Control & Delivery were the size of the collection of Western language monographic materials awaiting searching on the OCLC data base and access to materials for which there are no temporary records in the on order file or public catalog. In order to reduce the front log (materials awaiting searching on OCLC) and to bring materials relatively quickly under at least a temporary bibliographic record, we recommend that Technical Services adopt the goal of processing Western language monographs within three weeks from the time Acquisitions processing has been completed until they are cataloged (entered on OCLC) or sent to control (in the appropriate member library) and that an Ad Hoc Committee of the Acquisitions, Serials Acquisitions, MARC, and Catalog Departments be named to establish procedures for implementing this three-week time frame. (See attached flow chart for current work flow.) The Ad Hoc Committee should have wide representation of persons who are actually involved in day to day work and decision making.

We suggest that this committee should consider among other things the following:

1. Maximum use of the OCLC Cataloging Enhancer software to streamline recycle searching wherever possible.

2. Provision of temporary records for uncataloged materials via temporary slips in the card catalog or an automated acquisitions system and/or the online catalog.

3. The feasibility and usefulness of having selectors indicate a cataloging priority for all/some items.

4. Staffing patterns and departmental/divisional organization necessary to accomplish the goal of a three week time frame.

5. Procedures prior to arrival which might expedite processing after receipt, e.g. recording OCLC # whenever known, indication of the availability of 050 (LC) copy, etc.

6. The impact of an automated acquisitions/serials control system on the process.

7. Handling the book as few times and by as few persons as possible.

The Task Force Sub-group would suggest at least one meeting with the Ad Hoc Committee in order to communicate the wide range of ideas which were brought forward during Sub-group meetings. In order to have the work of the Ad Hoc Committee proceed without delay, we suggest that it make a preliminary report within a month of the time of appointment.

February 7, 1985

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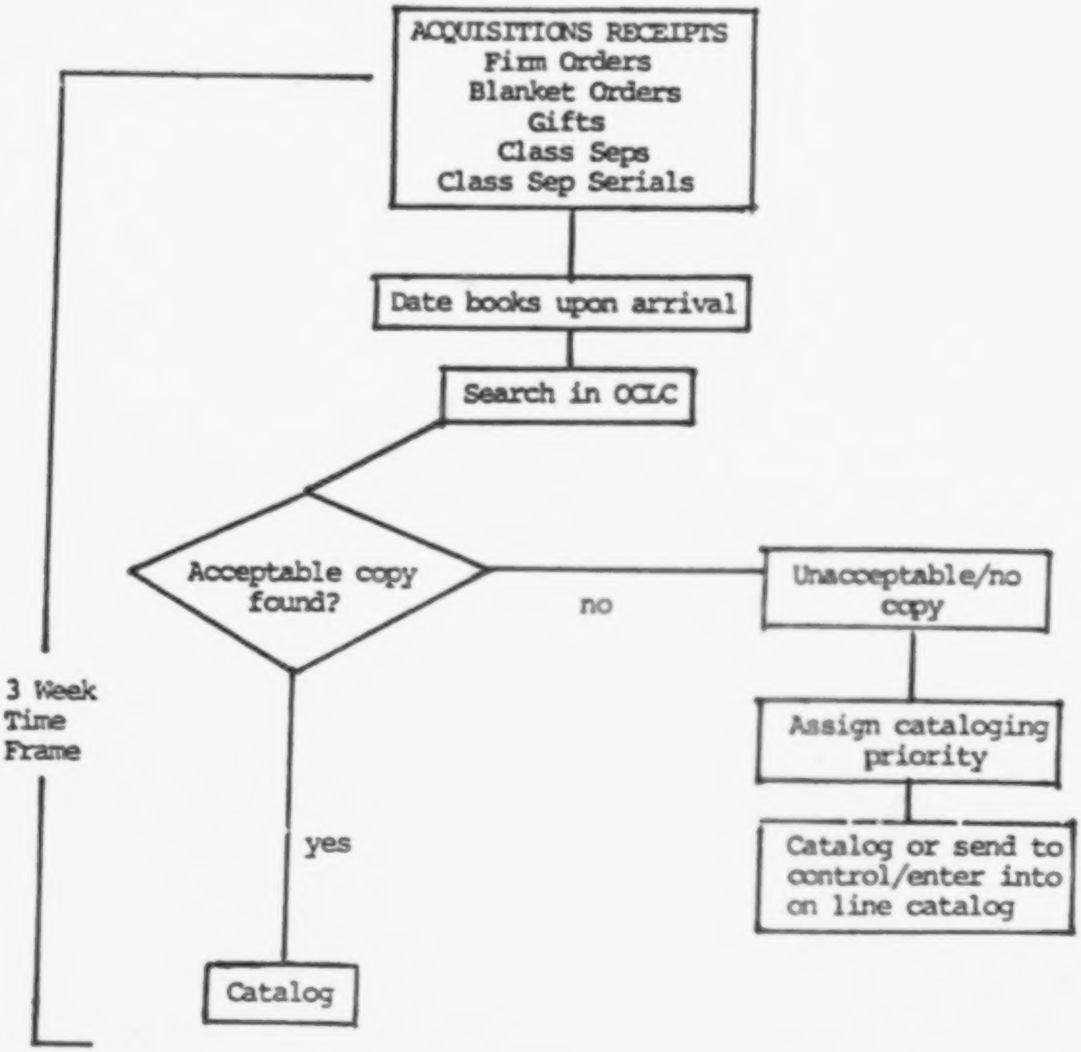
UNIVERSITY OF WISCONSIN - MADISON

Western Language Monographs


ACQUISITIONS RECEIPTS
Firm Orders
Blanket Orders
Gifts
Class Seps
Class Sep Serials
Date books upon arrival
Search in OCLC
Acceptable copy found?
no
Unacceptable/no copy
Assign cataloging priority
Catalog or send to control/enter into on line catalog
yes
Catalog
3 Week Time Frame

DRAFT

TECHNICAL SERVICES TASK FORCE ON CONTROL & DELIVERY

RECOMMENDATIONS #2 & 3

Included in the first charge to the Task Force was a reference to the physical security (including tattle-taping) of in-process items. In recent weeks the Task Force Sub-Group has been studying this topic and suggests the following recommendations:

2. That all materials sent to Control be tattletaped before they are shelved.

   This will make our tattle-taping policy consistent with that for cataloged books and will be a step toward establishing an open-shelf control colletion at some future time if that were found to be desirable.

   If Recommendation #3 is accepted and implemented, the tattle-taping of items going to Control would continue only for materials presently in process and not tattle-taped after sorting.

   We would further strongly recommend that the control materials in the Cage (not compact shelving) be tattletaped.

3. That books be tattle-taped at an earlier stage than currently is the case. It is our recommendation the this be done immediately after sorting is completed in the Acquisitions Dept. and before books are sent to the MARC Dept.

   Of the several points in workflow which were considered (before inventory, after sorting, and during searching), this seemed to be the best option. The only addition to workload would be that LC copy books and non-LC copy books would be further divided between Memorial and non-Memorial locations. Memorial books would be sent for tattle-taping, while non-Memorial books would go directly to MARC.

UNIVERSITY OF WISCONSIN - MADISON

TO: Technical Services Council August 14, 1985
Frank Bright, Chairperson

FROM: Technical Services Task Force on Control and Delivery
Jennifer Younger, Chairperson

RE: Recommendation on Use of Minimal Level Cataloging

PURPOSE

The purpose is to make it possible for all materials currently acquired by the General Library System to be cataloged upon receipt and within a reasonable time frame.

DEFINITION

The OCLC minimal level cataloging standard, Level K, will be the basis of the minimal level cataloging records. When entering cataloging into the OCLC data base, we must adhere to the standards outlined by the OCLC member libraries. In addition, we propose to provide a call number; the place of publication; illustrations and size; series statement; and one personal name entry in all records. Other information such as notes, subject headings and corporate name entries will be added as the cataloger considers them to be important access points to the item in hand.

The intent is to begin with flexible minimal level requirements so that the nature of the materials being cataloged can be taken into account in the cataloging process. For example, access to a foreign government publication might be hindered by the lack of a corporate name entry. A collection of materials on a particular topic written by a variety of authors might be best approached by subject. Book titles containing substantive words may provide subject access through key word searching of the titles, making subject headings less necessary. Our approach will be to provide the most useful access to the greatest number of items through the use of less-than-complete cataloging records.

PROCEDURES

1. Utilize all copy found in OCLC data base. Add a call number, if lacking, in all cases. Add other data to an existing minimal level record when appropriate.

2. Create full level cataloging records for: (1) reference tools, e.g., directories, dictionaries, bibliographies, for all locations, and (2) items specifically ordered by a selector for which full level cataloging is requested.

3. Create minimal level cataloging records for all other materials currently acquired. These records will be considered as permanent bibliographic records.

Under these guidelines, the following types of materials would certainly receive minimal level cataloging: academic dissertations, literature in all languages, and topical works in foreign languages. As we progress, we can identify more precisely the type of materials receiving minimal level cataloging.

PROGRESS REPORT

The Task Force recommends that an experiment with minimal level cataloging be started on Sept. 2, 1985. All items now given original cataloging or temporary cataloging in the Catalog and MARC Depts. should be considered first for minimal level cataloging. Only exceptions as outlined above are to cataloged fully. In October, the two cataloging departments will report to the Task Force and the Technical Services Council as to the numbers and types of items cataloged and advantages/disadvantages of minimal level cataloging. The experiment will be be modified and continued as determined then.

LIST OF MANDATORY AND REQUIRED-IF-AVAILABLE ELEMENTS IN OCLC LEVEL K RECORDS

FIXED FIELDS:

type (print or other)
Bibliographic level
government publication
language
cataloging source
physical form (repr)
descriptive rules
encoding level
conference publication
country of publication
publication date type
record modified from LC orig
festschriften
dates of publication

VARIABLE FIELDS

010 - LC card number
011 - Linking LC card number
020 - ISBD
040 - Source of cataloging - single library code
041 - Languages of publication text, summary or translation
086 - Government document code
1xx - Main entry if appropriate under cataloging rules
245 - Title, other title and statement of responsibility
250 - Edition statement
255 - Mathematical data (atlases)
260 - Publisher's name and date of publication
300 - Pagination or number of volumes

Postscript 8/15/85 The Technical Services Council unanimously approved

UNIVERSITY OF WISCONSIN-MADISON

UNIVERSITY LIBRARIES

Memorial Library
728 State Street
Madison, Wisconsin 53706

TO: Technical Services Council Feb. 20, 1986

FROM: Jennifer Younger

RE: Plan for Deferred Searching of Some Foreign Language Materials Received on Blanket Orders

The purposes are to maximize the use of bibliographic copy in cataloging and to use staff time as productively as possible. Deferring the first search for copy for some materials will have two results. (1) The percent of copy found on the first search on arrival for other materials will increase, from 70% to 80-85%. (2) The number of LC records found on deferred search will increase as LC has time to catalog and to distribute the bibliographic records.

PROCEDURES

1. Defer searching on some foreign language materials (specifically French, Italian, Portuguese, German, Spanish, Swedish, Danish, Norwegian, Finnish and some items from Nigeria). The specified plans are identified on the verso. The double asterisk preceding the agent's name indicates those materials for which searching will be deferred. A few of the Spanish language materials are not proposed now for deferred searching due to some idiosyncrasies in how the material is received.

EXCEPTIONS: Rush books and new book continuations received on blanket order will continue to be routed for searching and cataloging. The quantity is not expected to be large. Prompt cataloging should resolve problems enountered later when additional volumes are received. (Rush books - copy cataloging now - original cataloging when book is returned by patron.)

2. Acquisitions Dept. will sort the above identified materials upon receipt and route these items directly to the control processing section in MARC Dept. The temporary slip supplied by the vendor will be used for the temporary record. MARC Dept. will compare the temporary slip to the title page, and, when necessary, add or correct data, including completing the name, imprint, series and ISBN. MARC Dept. will process these items for a new control section, "G" control, or for the appropriate member library. While it is expected that the majority of these items will be located in the general stacks after cataloging, some items, e.g., art exhibition catalogs, are sent to member libraries. The temporary slips will be filed as usual - one copy in the public catalog, one in the MARC Dept. recycle file, and one to the member library.

3. The first search for copy will occur initially at 12 months. This will allow LC some time to catalog the book and to distribute the cataloging to OCLC. After some evaluation of when copy begins to appear in the OCLC data base, we can adjust the timing of the initial search for copy. If copy is found, the book will be retrieved and cataloged. If no copy is found, we will catalog the book according to our original cataloging priorities and capacity.

NOTE: We do not know the quantities of materials involved - the expected range is from 10,000 - 20,000 items. The growth in control will not be a large net growth because we were previously sending these items to control after first search resulted in no copy. Howver, there may be an initial net growth as the first trucks are processed quickly. We are pulling volumes from E control for cataloging. This should provide a balance in overall growth but it also means that there will be more shifting in control to cope with the limited space.

UNIVERSITY OF WISCONSIN - MADISON

DATE: June 19, 1986

TO: Technical Services Council

FROM: Jennifer Younger, Chair
Technical Services Task Force on Control & Delivery

SUBJ: Final Report

Please refer first to the letter (dated March 18, 1986) from the Task Force chair to the Technical Services Council. That letter contains the request to be dissolved and a copy of the original charge together with the recommendations made by the Task Force.

One of the first activities was a tour of the technical sevices departments, conducted by department heads for the Task Force members. The purpose was to ensure that all members had the same information about work flow and physical arrangements.

The three recommendations of the Task Force were suggestions for decreasing the delay and enhancing the physical security of materials awaiting processing. The focus was on addressing obvious bottlenecks and reviewing the logic of controlling material upon receipt in the library. We were oriented toward providing the most access possible; therefore, the emphasis was on a short initial processing goal of three weeks.

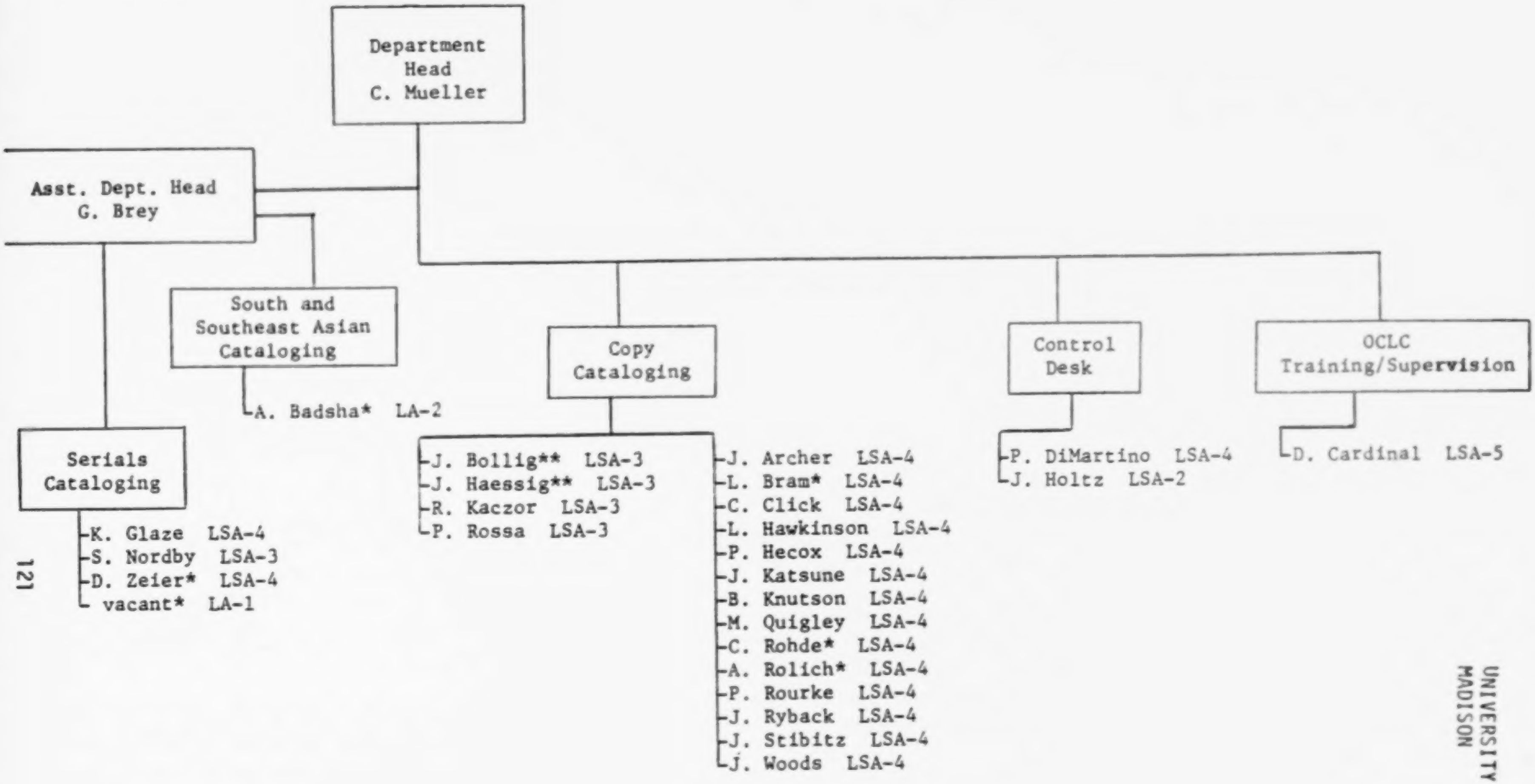
This group of materials was commonly known as the "frontlog." Since that time, the initial time period has dwindled considerably, varying from as little as one day to at most, one month, depending on the presence or absence of copy in OCLC. Faster processing also means there is less opportunity for materials to disappear. The current acquisition and implementation of the NOTIS system will foster still more change in procedures, including, in some cases, earlier control of what items have been received. Tattletaping is still done when the call number is put on the book spine. However, because the book spends less time in the processing stream than it did previously, it was felt this is acceptable.

Minimal level cataloging was discussed and a set of data elements defined. A decision was made to label this method "immediate access cataloging" to describe the purpose rather than the product. An experiment conducted in September and October, 1985, in MARC and Catalog Depts. determined that cataloging books at this reduced level was twenty percent faster than at the full level. While there are fewer access points in immediate access cataloging, the Task Force generally agreed that keyword access to words in titles and series furnishes some access to substitute for lack of a complete set of subject headings. Call numbers are assigned to every item.

The dilemma of how to provide additional cataloging time for the Rare Books Dept. was discussed in response to a memo from that department. At this time, the Task Force felt the general backlog of books to be cataloged had to viewed as the first priority.

MARC Department

Revised Sept. 2, 1986


Department Head C. Mueller
Asst. Dept. Head G. Brey
South and Southeast Asian Cataloging
A. Badsha* LA-2
Serials Cataloging
K. Glaze LSA-4
S. Nordby LSA-3
D. Zeier* LSA-4
vacant* LA-1
Copy Cataloging
J. Bollig** LSA-3
J. Haessig** LSA-3
R. Kaczor LSA-3
P. Rossa LSA-3
J. Archer LSA-4
L. Bram* LSA-4
C. Click LSA-4
L. Hawkinson LSA-4
P. Hecox LSA-4
J. Katsune LSA-4
B. Knutson LSA-4
M. Quigley LSA-4
C. Rohde* LSA-4
A. Rolich* LSA-4
P. Rourke LSA-4
J. Ryback LSA-4
J. Stibitz LSA-4
J. Woods LSA-4
Control Desk
P. DiMartino LSA-4
J. Holtz LSA-2
OCLC Training/Supervision
D. Cardinal LSA-5

*Half-time

**Three-quarter time

UNIVERSITY OF WISCONSIN - MADISON

Selected Reading List

Association of Research Libraries. Systems and Procedures Exchange Center, Catalog Maintenance Online, (Washington, D.C.: Systems and Procedures Exchange Center, 1985). (SPEC KIT no. 119).

Association of Research Libraries. Systems and Procedures Exchange Center, Local Cataloging Policies (Washington, D.C.: Systems and Procedures Exchange Center, 1985). (SPEC KIT no. 110).

Judith Hudson, Copy Cataloging Activities, Cataloging and Classification Quarterly, 7(1): 63-67, (Fall 1986).

Research Libraries and Their Implementation of AACR2, ed. by Judith Hopkins and John Edens. Greenwich, Conn.: JAI Press, 1986

Donald Share, Management of Backlogs, Library Journal 111(14): 160-161, (September 1 , 1986).